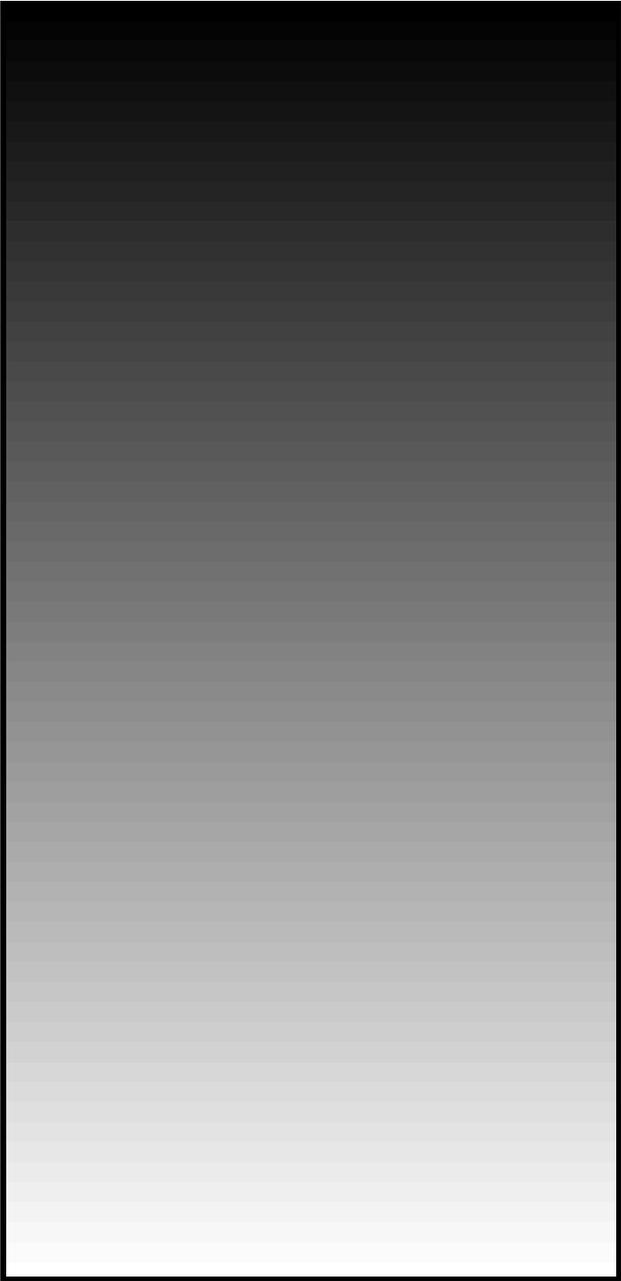


OJP



Grants To
Encourage Arrest
Policies and
Enforcement of
Protection Orders
Program

**Fiscal Year 2002
Application &
Program Guidelines**

Letter of Intent

Deadline: January 10, 2002

GMS Registration

Deadline: January 17, 2002

Application

Deadline: January 31, 2002

U.S. Department of Justice
Office of Justice Programs
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www.ojp.usdoj.gov/vawo

Grants to Encourage Arrest Policies and Enforcement of Protection Orders
Program Application
World Wide Web Homepage:
www.ojp.usdoj.gov/fundopps.htm

November 30, 2001

Dear Colleague,

The Violence Against Women Office is pleased to announce the availability of funding under the Grants to Encourage Arrest Policies and Enforcement of Protection Orders Program (Arrest Program). This funding is intended to encourage States, Indian tribal governments, State and local courts, tribal courts, and units of local government to treat domestic violence as a serious violation of criminal law. Arrest Program grants support strengthening criminal justice agencies, state and local courts, Indian tribal governments, and community-based domestic violence victim advocacy organizations involved in coordinated community responses to domestic violence crimes.

The Office of Justice Programs (OJP) requires that all applications be submitted through the OJP **Grants Management System (GMS)**. Access through the Internet to this online application system will expedite and streamline the receipt, review, and processing of your request for funding.

Please use the following application guidelines to assist you in preparing your new or continuation application. Applications must be submitted to OJP electronically through GMS no later than January 31, 2002. However, in order to allow adequate time to register on the online system, applicants must register at least two weeks prior to the application deadline. The Violence Against Women Office (VAWO) will begin accepting applications immediately.

To learn how to begin your online application process, please see the *Quick-Start Guide to Using GMS* in the attached package. A toll-free telephone number has been established for you to receive technical assistance as you work through the online application process, 1-888-549-9901.

If you have any *programmatic* questions regarding the Arrest Program, you may contact Marylouise Kelley, Violence Against Women Office Arrest Program Administrator, at (202) 616-0530. We look forward to receiving your application.

Diane M. Stuart
Director
Violence Against Women Office

Letter of Intent

All applicants, including current grantees who intend to apply for this funding, are encouraged to **submit the non-binding letter of intent**, in this Application Kit as Appendix A, to the VAWO by **January 10, 2002**. You may fax the letter to VAWO at (202) 305-2589. We will use these letters to forecast the number of peer review panels needed to review competitive applications.

Please note that final applications are due **January 31, 2002, and will be accepted only through the OJP online GMS. In addition, applicants should register online at least two weeks prior to the application deadline. It may take up to one week for you to receive confirmation that you are eligible to apply. Applications sent by fax or mail will not be accepted.** See *How to Apply*, page 20, for more information.

FY 2002 Grants to Encourage Arrest Policies and Enforcement of Protection Orders Program Application Checklist

A completed application will include items submitted on the Internet through OJP's GMS, as well as items faxed to OJP. Please use this checklist to ensure that your application is complete.

Step One: Submit the following information online through GMS

See Quick-Start Guide in Appendix B

- G Application for Federal Assistance (SF-424)
Note: Applicants submit online.
- G Certifications/Assurances
Note: Applicants will "sign off" on these assurances and certifications electronically through GMS.
- G Project Narrative
Note: Submit online as an attachment.
- G Budget Details
Note: Submit online as an attachment, and include the Budget Detail Worksheet, Budget Summary and Budget Narrative as part of this attachment.
- G Budget Narrative
Note: Submit online as an attachment.
- G Other Program Attachments
Note: Submit online as attachments.

Step Two: Fax the following required documents:

These documents are not included in GMS and must be faxed to OJP as part of your application. Documents must be faxed to both 202/354-4185 and 202/354-4147.

Important: Please include the program title of the VAWO program to which you are applying, the "Arrest Program", and your GMS application number on each page of each document. If these documents are available electronically, please submit them online as "other program attachments."

- G Memorandum of Understanding
- G Letter of Nonsupplanting
- G Indirect Cost Agreements, if applicable
- G Letter(s) of Support (Maximum of three)
- G Certification of Compliance

Due Date

All materials must be received by 5:30 pm (EST) on January 31, 2002.

Please Note: Applicants who have never registered with GMS must register online at least two-weeks prior to the application deadline. It may take up to one week for you to receive confirmation that you are eligible to apply. Applicants who have previously registered with GMS and have a GMS password should log on to GMS at least two weeks prior to the application deadline to determine that the password is still valid. If your password has expired, follow the on-screen instructions or call the GMS helpdesk at 1-888-549-9901.

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Appendix B	Quick-Start Guide
Appendix C	Single Points of Contact
Appendix D	Standard Application Form
Appendix E	Sample Memorandum of Understanding
Appendix F	Budget Detail Worksheet and Sample Budget
Appendix G	Assurances
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Appendix I	Sample Nonsupplanting Letter

INTRODUCTION

The Grants to Encourage Arrest Policies and Enforcement of Protection Orders Program (Arrest Program) encourages jurisdictions to implement mandatory or pro-arrest policies as an effective domestic violence intervention that is part of a coordinated community response. The Arrest Program reinforces that domestic violence is a crime which requires that the criminal justice system hold offenders accountable for their actions through investigation, arrest, and prosecution of violent offenders, and through close judicial scrutiny and management of offender behavior. The criminal justice system must also work, in partnership with community-based victim services organizations, to ensure victim safety through a coordinated web of victim services and advocacy.

Historically, the criminal justice system treated domestic violence as a private, family matter. Only in the past two decades has spousal and partner violence been acknowledged as a crime requiring the full force and attention of the criminal justice system. This transformation occurred largely as a result of the efforts of advocates who worked within their own communities to ensure that abused women¹ were accorded the same legal protections as other crime victims. Advocates--and their partners in the criminal justice system--sought vigorous enforcement of existing laws and enactment of new, stronger laws to address domestic violence.² Many new laws provided broader powers to police to arrest perpetrators of domestic violence, including the ability to make an arrest without a warrant when a law enforcement officer has probable cause to believe that a crime has been committed.³

Accordingly, in recent years, many police departments have implemented policies and practices that encourage or mandate warrantless arrest of a perpetrator of domestic violence based on probable cause that the person committed domestic violence or violated a protection order. Federal law also requires all states to honor certain protection orders issued by other jurisdictions.

The complex dynamics of domestic violence demand that police officers receive training and that they focus on victim safety. Some mandatory or pro-arrest policies direct responding officers to arrest the primary aggressor in a domestic violence incident. These policies reduce the risk of dual arrests, where both the victim and the batterer are arrested, which trivialize the seriousness of domestic violence and potentially increase danger to victims. Most importantly, arrest of the batterer conveys a message to the victim, the perpetrator, the family, and the community that domestic violence is a serious crime that will not be tolerated.

¹Although both women and men may be victims of domestic violence, sexual assault, and stalking, women are the victims of the vast majority of these crimes. According to the Bureau of Justice Statistics, more than 85% of violent victimizations by intimate partners between 1993 and 1998 were perpetrated against women. Data on male victimization do not document comparable victimizations and injury levels, do not account for women who act in self defense, and do not measure financial control, intimidation, and isolation used by perpetrators of domestic violence against women. For these reasons, this application kit may refer to victims as women. However, applicants who receive grants under this program must serve all victims regardless of gender.

² Schechter, Susan, *Women and Male Violence: The Visions and Struggles of the Battered Women's Movement*, (Boston: South End Press, 1982), p. 159.

³ Ibid.

Mandatory or pro-arrest policies also offer the potential benefit of deterring future abuse if the offender is separated from the victim and held publicly accountable for the violence. Research indicates that arresting perpetrators can be a strong deterrent, even without a conviction⁴. Moreover, arrest of offenders sends a broader public message -- that violent behavior, even between intimates, is criminal. For arrest to be an effective domestic violence intervention, it must be a part of a coordinated community response to the problem and it must leverage the power of the entire criminal justice system. Arrest must be followed by immediate arraignment and thorough investigation. Orders of protection must be strongly and consistently enforced. Cases must be vigorously prosecuted. The violent behavior of domestic violence offenders must be managed through frequent judicial oversight and the use of graduated sanctions. Perpetrators of domestic violence require intense supervision. Probation and parole agencies must develop strategies for closely monitoring offenders and strictly enforcing the terms and conditions of probation or parole.

At each juncture in the criminal justice process, concerns for victim safety should guide the actions of all partners in the system. The experiences of victims of domestic violence, particularly those who have sought assistance from the criminal justice system, should inform the development of policies and programs. The diverse experiences of victims -- particularly the experiences of women of color, immigrant victims, the elderly, victims with disabilities and victims from other traditionally underserved parts of the community -- should be considered.

Criminal justice agencies must collaborate among themselves and in respectful partnership with victim advocates from nonprofit, nongovernmental domestic violence programs, including local shelters, victim advocacy organizations and domestic violence coalitions, to ensure that victim safety is a paramount consideration in the development of any strategy to address domestic violence. Additionally, representatives from criminal justice agencies working to prevent and reduce domestic violence must have a clear understanding of the roles of governmental and nongovernmental victim assistance programs.

Governmental and nongovernmental victim advocates provide critical personal support to victims and assist them with safety planning. They may provide information about their jurisdiction's criminal justice system and local resources and services, and they may refer victims to local programs or shelters. Victim advocates working for governmental agencies are often referred to as victim-witness assistants or coordinators. They frequently work for police departments, city or district attorneys or other governmental agencies. Their responsibilities may include interviewing the victim when the case enters the system; initiating a process for safety planning; notifying the victim when the perpetrator is released from jail and explaining the conditions of release or bail; assisting the local prosecutor in gathering evidence for the case; making sentencing recommendations to the judge; working collaboratively with a local shelter and probation officer to keep the victim informed of the terms of supervision and protection orders; and, assisting the victim in processing a crime victim compensation claim.

The most important distinction between governmental and nongovernmental advocacy is that the communications between a governmental victim advocate and a victim are *not* confidential. Independent advocates working for nonprofit, nongovernmental agencies--including shelters, law school clinics, legal service agencies for victims of domestic violence or other local domestic violence programs--often do many of the same things that governmental advocates do, but they tend to work with victims on a long-term basis. While they may be located in a governmental agency (e.g., a police department, a prosecutor's office, or a court), because they are employees of nonprofit, nongovernmental agencies, they maintain their independence and are subject to their own internal policies of confidentiality as well as state laws covering the confidentiality of privileged information shared between victims of domestic violence and victim advocates. Communications with attorneys are almost always privileged and confidential.

⁴ Hart, Barbara J., *Domestic Violence Intervention System: A Model for Response to Woman Abuse*, (Downloaded from the Internet: www.umn.edu/mincava/hart/dvinter.html), p. 1 of 12.

Independent advocates often assist victims with safety planning over time and their ultimate goal is to enhance victim safety as well as the personal well-being, agency, and autonomy of each victim. They may counsel victims on personal and legal issues, referring them to liaison organizations for emergency shelter, comprehensive health services, educational services, and legal or community services. They may connect victims with other advocates or survivors who can provide much needed support. They may assist in acquiring a protection order, accompany victims to court on multiple occasions, and provide legal assistance and representation when necessary. Independent legal advocates also may provide the prosecutor with assistance in preparing a case at the request of their clients. Legal advocates may also propose appropriate sanctions to the presiding judge, assist the victim in obtaining economic support, and assist in creating safe visitation plans.

The Arrest Program challenges victim advocates, police officers, pre-trial service personnel, prosecutors, judges and other court personnel, probation and parole officers and community leaders to work together to craft solutions to overcome the problem of domestic violence. The Arrest Program challenges the entire community to listen, communicate, identify problems, and share ideas that will result in new responses to ensure victim safety and offender accountability.

SCOPE OF PROGRAM

The scope of the Arrest Program is outlined by the statutory Program Purposes and the Special Interest Categories set forth below.

A. Statutory Program Purposes

Ensuring victim safety and offender accountability are the guiding principles underlying the Arrest Program. The Violence Against Women Act (VAWA) and subsequent legislation directs that the Arrest Program be used to:

- Implement mandatory arrest or pro-arrest programs and policies in police departments, including mandatory arrest programs or pro-arrest programs and policies for protection order violations;**
- Develop policies, educational programs, and training in police departments to improve tracking of cases involving domestic violence and dating violence;**
- Centralize and coordinate police enforcement, prosecution or judicial responsibility for domestic violence cases in groups or units of police officers, prosecutors, probation and parole officers or judges;**
- Coordinate computer tracking systems to ensure communication between police, prosecutors, parole and probation officers, and both criminal and family courts;**
- Strengthen legal advocacy service programs for victims of domestic violence and dating violence, including strengthening assistance to such victims in immigration matters;**
- Educate judges in criminal and other courts about domestic violence and to improve judicial handling of such cases;**
- Provide technical assistance and computer and other equipment to police departments, prosecutors, courts, and tribal jurisdictions to facilitate the widespread enforcement of protection orders, including interstate enforcement, enforcement between States and tribal jurisdictions, and enforcement between tribal jurisdictions; and,**

- **Develop or strengthen policies and training for police, prosecutors, and the judiciary in recognizing, investigating, and prosecuting instances of domestic violence and sexual assault against older individuals⁵ and individuals with disabilities.⁶**

B. Special Interest Categories

In Fiscal Year 2002, in addition to the required program purposes described above, OJP is interested in funding States, Indian tribal governments, State and local courts, and units of local government that have implemented--or plan to implement--promising approaches that respond to domestic violence as a serious violation of criminal law within the special interest categories set forth below.

1. Enforcement of protection orders and implementation of the full faith and credit provision of the Violence Against Women Act.

Prior to the enactment of the VAWA, a victim who obtained a protection order from her home State or tribe often could not rely on that order as a basis for protection if the victim worked, traveled or moved to another State or tribe. The VAWA requires jurisdictions to enforce a valid protection order issued in other States, tribes or territories. OJP is interested in supporting collaboration among States, Indian tribal governments, State and local courts, and units of local government to develop projects that promote cross-jurisdictional enforcement of protection orders through a variety of means, including, but not limited to:

- ▶ the sponsorship of regional full faith and credit workshops for relevant stakeholders, including the provision of specialized, cross-jurisdictional training for teams of judges, police officers, prosecutors, probation officials, and victim advocates;
- ▶ the creation, expansion, or linkage of State, tribal, or regional protection order registries;
- ▶ the modification of a currently operating protection order registry to be compatible with a state registry and/or the National Crime Information Center's (NCIC) Protection Order File⁷;
- ▶ the development and adoption of uniform protection order forms;
- ▶ the modification of a data tracking system to be compatible with a State protection order registry in order to transfer protection order data; and/or,
- ▶ the creation or enhancement of local, inter- or intra-State and tribal communication and case tracking systems to assist law enforcement in determining if there is an outstanding order of protection against an offender, whether the offender has previously been arrested for assaulting the victim or another victim, or if charges are pending against the perpetrator for prior alleged domestic violence.

2. Community-driven initiatives to address violence against women among diverse, traditionally underserved populations.

Domestic violence is a crime that cuts across race, ethnicity, socioeconomic class, sexual orientation, religion, and age. It occurs in rural and urban areas alike. It is not specific to any culture. Domestic violence is based on a well-established belief that one intimate partner has the right to use violence as a legitimate means of exercising power and maintaining control over the

⁵ As defined in section 102 of the Older Americans Act of 1965 (42 U.S.C. 3002).

⁶ As defined in section 3(2) of the Americans with Disabilities Act of 1990 (42 U.S.C. 12102(2)).

⁷ To further enhance the cross-jurisdictional safety of domestic violence victims, any registry developed or enhanced through the Arrest Program must be compatible with the National Crime Information Center (NCIC) Protection Order File. Additionally, any arrangements, equipment, facilities, and procedures used for the receipt, storage, interagency exchange or dissemination, and/or analysis of criminal intelligence information throughout the project must comply with 28 CFR Part 23, Criminal Intelligence Systems Operating Policies.

other. Far too often perpetrators rely on power, privilege, cultural stereotypes, and cultural relativism to justify their violent behavior, thereby avoiding community and legal sanctions.

This category includes the development of efforts to build the capacity of communities to respond to domestic violence which occurs within diverse, traditionally underserved populations such as people of color, immigrants, people with disabilities, people in same-sex relationships, and the elderly. Initiatives of special interest to OJP include:

- ▶ the development of plans for the implementation of culturally sensitive interventions to domestic violence, including the development of effective, individualized community sanctions for perpetrators of domestic violence and the development of services, resources and protection mechanisms for victims;
- ▶ the support of efforts by the criminal justice system to develop partnerships with diverse groups to strengthen community sanctions for domestic violence, by creating strong links between community leaders and organizations and representatives from the criminal justice system;
- ▶ outreach by domestic violence victim advocates to community leaders and organizations to obtain the support and expertise of individuals and groups outside the field of domestic violence, including leaders and members of faith communities, members of service organizations, neighborhood associations and watch groups, community development organizations, organizations affiliated with public housing, cultural groups and institutions, membership organizations, or local businesses;
- ▶ direct financial support to build the capacity of organizations currently serving diverse populations, staffed by representatives of the diverse population to be served; and/or,
- ▶ the creation of needs assessments, community forums and community-based advisory groups of domestic violence victims and survivors to educate the community and representatives from the criminal justice system on the needs and fears of victims of domestic violence.

3. Collaboration between advocates working with victims of domestic violence, domestic violence programs, child protection service agencies and criminal justice agencies to provide support and resources to battered women and their children.

Systems dedicated to ensuring the safety of victims of domestic violence and their children are currently fragmented and sometimes working at cross purposes. Because the impact of domestic violence on victims and their children is a complex issue, there is a need for greater understanding and collaboration between advocates for victims of domestic violence, child protection workers, and representatives from criminal justice agencies. OJP is interested in supporting the following activities:

- ▶ the creation of combined advocacy programs and other services for victims of domestic violence and their children; the creation of working groups comprised of advocates for abused women, advocates for abused children, representatives from child protection services, the judiciary and other court personnel to develop policies and protocols that aggressively intervene with perpetrators of domestic violence (even if they have no legal relationship to the child) and lead to the protection of children by increasing the safety, well-being, and autonomy of victims of domestic violence;
- ▶ the revision of management information systems in the civil, family, and criminal divisions of the courts and within child protection services or child welfare systems to more effectively track and identify perpetrators of domestic violence;
- ▶ legal advocacy for victims of domestic violence who are required to appear in juvenile, family, or civil court to address custody, visitation, protection orders, child support and immigration issues; and/or,
- ▶ inter-disciplinary training for law enforcement officers, prosecutors, judges, court personnel, child protection workers, guardians ad litem, and others in the criminal justice and human services systems on the following topics: the complexity of domestic violence; the co-occurrence of domestic violence and child abuse; the impact of domestic violence on children who witness it; and, options for increasing safety for victims of domestic violence

and their children.

4. The development and implementation of coordinated initiatives to address incidents of stalking occurring in a domestic violence context.

Each year more than 1 million women are stalked. Almost 60 percent of these women are stalked by some type of intimate partner--former or current spouse, former or current cohabiting partner, or current or former girlfriend or boyfriend. In addition, there is a strong link between stalking and domestic violence. Approximately 80 percent of the women who were stalked by a current or former intimate reported being physically assaulted by that stalker at some point in the relationship⁸.

OJP is interested in receiving proposals for developing policies, protocols, and projects to address stalking in domestic violence cases. OJP seeks to fund programs that demonstrate a commitment to aggressive case management including thorough investigations, early intervention, vigorous prosecution, frequent judicial oversight, and close supervision in stalking cases to reduce the risk of injury to the victim. Specifically, applicants may submit proposals for the development and implementation of one or more of the following strategies:

- ▶ the establishment of vertical case management systems within police departments and/or prosecutor's offices so that one police officer and/or prosecutor handles the case from the beginning to the end;
- ▶ training programs for police officers, prosecutors, and other criminal justice professionals to educate them in identifying and managing stalking cases; and/or,
- ▶ the creation of dedicated teams of police officers, prosecutors, court personnel, and/or parole and probation officers within existing domestic violence units to investigate, monitor, and aggressively arrest and prosecute offenders for the crime of stalking.

5. The development of court innovations to improve the judicial handling of domestic violence cases.

Cases of domestic violence are addressed in a variety of criminal and civil court settings, including domestic violence, juvenile, and family courts. Court innovations in domestic violence cases in recent years have included: the development of specialized courts or dockets for domestic violence cases; enhanced judicial monitoring of domestic violence offenders; the addition of domestic violence victim advocates and/or legal advocates to provide support for victims during court proceedings; and, the development of information systems to enhance the sharing of information among criminal justice agencies, the sharing of information between courts hearing related matters, and the courts' ability to monitor effectively offender sanctions. OJP is interested in receiving proposals for projects which support court innovations in one or more of the following ways:

- ▶ the development and/or implementation of specialized domestic violence courts or specialized dockets which provide dedicated judges and/or prosecutors for domestic violence cases, increase victim access to advocacy/services, and enhance judicial monitoring of offenders;
- ▶ court accompaniment by victim advocates for victims of domestic violence. On site services should be provided by nongovernmental, nonprofit domestic violence victim services providers under a Memorandum of Understanding with the court;
- ▶ the development and delivery of training protocols for judges and court personnel who preside over domestic violence cases, or related matters (e.g., juvenile or dependency matters) involving domestic violence. The training project should make full use of existing

⁸ Tjaden, P. and Thoennes, N., *Stalking in America: Findings From the National Violence Against Women Survey*, National Institute of Justice and Centers for Disease Control and Prevention, Research in Brief, April, 1998.

judicial training resources offered by VAWO's technical assistance providers and other existing training curricula, materials, and courses. A goal of the project should be to promote judicial training on domestic violence as a standard practice in the applicants' jurisdiction. Judicial training should be part of a broader project to improve the overall community response to domestic violence;

- ▶ the provision of information to judges regarding an offender's lethality or compliance with existing court orders, including feedback from probation, pre-trial services, and batterer intervention programs; and/or,
- ▶ the creation or enhancement of management information systems to provide prosecutors and judges with access to case information on prior arrests and convictions for domestic violence, prior issuance of protection orders, related matters pending before the court, and information on resources and services for victims.

6. System accountability projects.

Effective intervention in cases of domestic violence requires collaboration among several agencies and community organizations, accessible systems which prioritize victim safety and offender accountability, the appropriate sharing of information while recognizing the need for confidentiality, and an array of services designed to meet victim needs and provide sanctions and interventions for offenders. A multi-system response requires continual monitoring and evaluation to ensure that each system is functioning as intended, gaps between systems are addressed, and the overall goals of victim safety and offender accountability are attained. OJP is interested in supporting projects which enhance system accountability through one or more of the following strategies:

- ▶ the evaluation of the institutional response to domestic violence by conducting a *Safety and Accountability Audit*⁹ of the criminal justice system (i.e., a systemic method of analyzing how safety and accountability are or are not incorporated into the daily work routine of criminal justice professionals and the policies of their agencies);
- ▶ the creation or enhancement of management information systems which allow law enforcement agencies, prosecutors' offices, courts, probation and parole departments, and batterer intervention services to share information concerning prior arrests and convictions, the existence of protection orders, compliance with sanctions, and the status of offender monitoring; and/or,
- ▶ the development and/or implementation of a program evaluation of the proposed project to enhance the performance measurement activities required by VAWA 2000. Additional evaluation, conducted by independent evaluators, must be directly related to the proposed activities and might include: conducting qualitative interviews with underserved populations to determine service needs and concerns; conducting a process evaluation of the implementation of the project; evaluating the effectiveness of a new intervention model; the identification and tracking of targeted project outcomes; or, the development of case tracking/information systems to enhance ongoing project evaluation. While all VAWO grantees are required to collect data to measure their effectiveness, additional evaluation projects would be considered an enhancement to a larger project focused on one or more of the Arrest Program purposes.

C. Activities that May Compromise Victim Safety

Ensuring victim safety is a guiding principle of the Arrest Program. Experience has shown that certain practices compromise victim safety rather than enhance it. For example, forcing a battered woman to testify against her abusive partner may place her at greater risk of continuing or escalating violence. Accordingly, consistent with the goals of assuring victim safety and holding perpetrators accountable, applicants are discouraged from proposing any of the activities listed below:

⁹ Pence, E. and Lizdas, K. *The Duluth Safety and Accountability Audit: A Guide to Assessing Institutional Responses to Domestic Violence*, 1998 .

- ▶ Offering perpetrators the option of entering pre-trial diversion programs Diversion programs and alternative dispositions can send a message to victims and perpetrators that abuse is not a serious crime. These programs also become problematic when they are of a relatively short duration, do not require that the offender's behavior be monitored regularly, or are used merely as a means of managing the docket rather than serving the interests of justice.
- ▶ Mediation or counseling for couples as a systemic response to domestic violence Mediation and couples counseling imply that both parties are responsible for the violent behavior of the perpetrator or primary aggressor. It is wholly inappropriate to sanction the victim or hold the victim accountable for the offender's behavior. Furthermore, mediation requires two parties with equal power to voluntarily reach an agreement about the issue at hand. In abusive relationships, the power and control exercised by batterers over time may leave victims in a state of constant fear. This power imbalance makes it nearly impossible for any agreement between the two parties to be voluntary.
- ▶ Batterer intervention programs that do not use the coercive power of the criminal justice system to hold batterers accountable for their behavior. Batterer intervention programs funded through the Arrest Program must be part of a graduated range of sanctions that uses the coercive power of the criminal justice system to hold abusers accountable for their criminal actions and for changing their behavior. Above all, victim safety must be a priority; for that to occur, batterers must take responsibility and be accountable for their violence. Programs that focus only on controlling anger and impulses, managing emotions, developing communication skills, and dealing with stress are not designed to hold batterers to this level of accountability.
- ▶ Procedures that would force victims of domestic violence to testify against their abusers or impose other sanctions on them. When handling domestic violence cases, police officers' and prosecutors' decisions must be grounded in ensuring that the victim is safe. To that end, criminal justice professionals should work in close concert with victims to help guide decisions. While there are certainly instances in which prosecutors should proceed without the testimony of victims, victims should always be consulted because they are the best judges of the dangerousness of their situation.
- ▶ Procedures that exclude victims of domestic violence and their children from receiving safe shelter, advocacy services and other assistance based on their age, immigration status, race, religion, sexual orientation, mental health condition, physical health condition, criminal record, work in the sex industry, or the age and/or gender of their children. Often victims of domestic violence are forced to choose between their older male children and receiving safe shelter due to shelter restrictions on the age of male children. Other times, victims are refused services if they have a criminal record or if they have been prostituted, both of which may have been a result of the abuse. Victim safety is compromised when victims are excluded from services. Programs should institute policies and procedures grounded in the principle of victim safety.

ELIGIBILITY

A. Eligible Grantees

By statute, eligible grantees for the Arrest Program are **States, Indian tribal governments, State and local courts, and units of local government**. For the purposes of this Program, a **unit of local government** is any city, county, township, town, borough, parish, village, or other general-purpose political subdivision of a State; an Indian tribe that performs law enforcement functions as determined by the Secretary of the Interior; or, for the purpose of assistance eligibility, any agency of the District of Columbia government or the United States Government performing law

enforcement functions in and for the District of Columbia, and the Trust Territory of the Pacific Islands.

Police departments, pre-trial service agencies, district or city attorneys' offices, sheriffs' departments, probation and parole departments, shelters, nonprofit, nongovernmental victim services agencies and universities are **not** units of local government for the purposes of this grant program. These agencies or organizations may administer grant funds and assume responsibility for the development and implementation of the project, but they **must apply through a State, State or local court, Indian tribal government or a unit of local government.**

B. Certification of Eligibility

To be eligible to receive funding through this Program, applicants must:

- (1) certify that their laws or official policies—
 - (a) encourage or mandate arrests of domestic violence offenders based on probable cause that an offense has been committed; and
 - (b) encourage or mandate arrest of domestic violence offenders who violate the terms of a valid and outstanding protection order;
- (2) demonstrate that their laws, policies, or practices and their training programs discourage dual arrests of offender and victim;
- (3) certify that their laws, policies, or practices prohibit issuance of mutual restraining orders of protection except in cases where both spouses file a claim and the court makes detailed findings of fact indicating that both spouses acted primarily as aggressors and that neither spouse acted primarily in self-defense; and
- (4) certify that their laws, policies, and practices do not require, in connection with the prosecution of any misdemeanor or felony domestic violence offense, or in connection with the filing, issuance, registration, or service of a protection order, or a petition for a protection order, to protect a victim of domestic violence, stalking, or sexual assault, that the victim bear the costs associated with the filing of criminal charges against the offender, or the costs associated with the filing, issuance, registration, or service of a warrant, protection order, petition for a protection order, or witness subpoena, whether issued inside or outside the State, tribal or local jurisdiction.

Eligible applicants must submit as part of the application a letter signed by the **chief executive officer** of the State, Indian tribal government, or unit of local government certifying to the conditions listed above. If (4) above does not yet exist in the applicant jurisdiction, the State, Indian tribal government, State or local court, or unit of local government applying for grant funds must provide assurances that it will be in compliance with this requirement by the date on which the next session of the State legislature or Indian Tribal Legislature ends, or by October 28, 2002.

AVAILABILITY OF FUNDS

A. Award Amounts

For Fiscal Year 2002, Congress appropriated \$64,925,000 for the Arrest Program, of which \$3,246,250 is required to be set-aside for awards to Indian tribal governments. Applicants should carefully consider the resources needed to implement a community-wide project and present a realistic budget that accurately reflects project costs. It is unlikely that OJP will make awards in excess of \$600,000 for individual units of local government, State or local courts, or \$1,200,000 for State-wide, regional projects involving 10 or more counties, or tribal consortia projects. Continuation budgets should not greatly exceed prior budget amounts for a comparable project period (i.e., a 24-month budget could be expected to be twice as much as a previously approved 12-month budget). OJP may elect to make grants for greater or lesser amounts than requested and to negotiate the scope of work with applicants prior to award of a grant.

B. Length of Grant Period

Grant periods and budget requests for all new, continuation, or supplemental projects may not exceed 24 months. The project budget should clearly indicate the proposed project period (i.e., 12 month, 18 month or 24 month). Budgets must reflect activity for the full length of the proposed project. In determining the length of the project, continuation applicants should consider the amount of funding remaining in their current award. Applicants who apply and receive awards for 24 months will not be eligible to apply in Fiscal Year 2003.

C. Types of Applicants

In Fiscal Year 2002, VAWO will accept applications for the Arrest Program from both new applicants and current grantees.

New Applicants

New applicants include any jurisdictions that are not currently receiving funds through the Arrest Program. During Fiscal Year 2002, a limited number of grant awards will be available to new applicants who encourage or mandate arrest of domestic violence offenders as part of a coordinated community response to domestic violence.

Current Grantees

Current grantees include States, State and local courts, Indian tribal governments or units of local government that have previously received an award through the Arrest Program. Current grantees are eligible for continuation grants to support project activities for an extended period of time or for supplemental grants that would expand the scope of current activities. Current grantees should provide a detailed explanation in their applications of the effectiveness of the existing program and how effectiveness is measured.

D. Future Funding

The Arrest Program is a discretionary program. **There is no guarantee of continuation funding.** All applicants should describe how project activities will be maintained and/or institutionalized in the absence of continued federal support. All applicants are required to include a statement describing willingness and ability to continue the proposed project after the Arrest Program funds are no longer available.

PROGRAM REQUIREMENTS

A. Measuring Effectiveness

As a special condition to the award, grantees will be required to collect and maintain data that measures the effectiveness of the jurisdiction's efforts to address domestic violence and dating violence. As a result of VAWA 2000, all grant recipients are now statutorily required to report on the effectiveness of their programs, and in turn, VAWO must now report to Congress on the effectiveness of Arrest Program projects. Therefore, grantees must collect and maintain data to measure the success of the jurisdiction's current and prior efforts to address domestic violence. Specifically, VAWO is seeking data that includes baseline information to illustrate the effectiveness of the implementation of any grant-supported activities including the "before and after" impact of grant supported projects, i.e., it is recommended that applicants compile and summarize available data for a period of three or more months prior to the proposed grant period. Information of particular interest to VAWO includes, but is not limited to, the total number and trends indicating increases or decreases in the number of persons served and the types of service provided; persons seeking services who could not be served, if possible, and the reason why services could

not be provided; 911 calls; arrests; dual arrests; domestic violence case prosecutions; dismissals of domestic violence case prosecutions; domestic homicides; recidivism rates; conviction rates; and protection order violations.

B. Coordination with Nonprofit, Nongovernmental Domestic Violence Programs

All applicants are required to enter into formal, respectful collaborations with nonprofit, nongovernmental organizations serving victims of domestic violence. In developing applications for the Arrest Program, jurisdictions are encouraged to consider some important distinctions between victim advocates who work for:

- ▶ governmental agencies (e.g., the police department or the district or city attorney's office);
- ▶ victim advocates who represent nonprofit, nongovernmental domestic violence programs (e.g., shelters, advocacy groups or coalitions); and
- ▶ legal advocates (e.g., students from law school clinics, paralegals, attorneys working for legal service agencies or independent attorneys).

While there is an important role for *all* victim advocates to play in the creation of a coordinated community response to domestic violence, **the VAWA requires the participation of nonprofit private sexual assault or domestic violence programs in the development and implementation of the project.** This does not preclude applicants from requesting support for governmental victim services but the budget and budget narrative must distinguish between the two and should include fair compensation for the contributions of nonprofit, nongovernmental victim service agencies. In addition, if funding is requested for *both* governmental and nongovernmental victim assistance and advocacy, the project narrative must provide an explanation of how collaboration will be achieved between these different entities.

In addition, in order to be eligible for funding, victim services programs should meet all of the following criteria:

- ◆ Victim services programs must have as one of their primary purposes the provision of services to victims of domestic violence, sexual assault, dating violence or stalking.

Experts view domestic violence as a pattern of coercive behavior that is used by one person to gain power and control over a current or former intimate partner. This pattern of behavior may include physical or sexual violence, emotional and psychological intimidation, threats, verbal abuse, stalking, isolation and economic control. When victims of domestic violence flee from abuse, perpetrators of domestic violence frequently claim to be victims in order to locate their former victims, punish them for leaving, or regain control over victims through legal proceedings. Organizations that claim to assist victims but actually assist perpetrators in regaining control over victims are not eligible for support. Moreover, in cases of dual arrest or cross allegations of abuse, projects must not provide victim services to the primary or predominant aggressor.

- ▶ Victim services programs must reflect (e.g. through mission statements, training for all staff, etc.) an understanding that the violence perpetrated against victims is grounded in an abuse of power by offenders, reinforced through intimidation and coercion.

Victim services programs must have this understanding because perpetrator conduct impedes the liberty and autonomy of victims, creates fear of the perpetrator, causes physical and/or psychological injury, and limits the victim's access to services. The philosophy of victim services programs must reject the use of violence and intimidation to perpetuate these and other forms of inequality.

- ▶ Victim services programs must address a demonstrated need in their communities by providing services that promote the integrity and self sufficiency of victims, improve their access to resources, and create options for victims seeking safety from perpetrator violence.

A lack of services alone does not demonstrate the need for a particular program to be funded. Rather, States, State or local courts, tribal governments, or units of local government, should determine whether there is a demonstrated need for the proposed services and whether the applicant would serve a significant number of victims who do not otherwise have access to resources such as safe housing, economic self sufficiency, advocacy and counseling, and culturally appropriate services. Services must be designed to restore victim autonomy and liberty.

- ▶ Victim services programs must not engage in activities that compromise victim safety.

Examples of activities that compromise victim safety include, but are not limited to: mediation, alternative dispute resolution, couples counseling, or any other intervention that implies that both parties are responsible for the perpetrator's violence; failing to respect victim autonomy and decision making; intervention or counseling programs for perpetrators that do not use the coercive power of the criminal justice system to hold them accountable for their behavior, e.g., anger or stress management programs; and providing perpetrators with confidential information about the whereabouts or activities of victims or their families.

- Victim services programs must consult and coordinate with nonprofit, nongovernmental victim services programs including sexual assault and domestic violence victim services programs.

Applicants must demonstrate that they have consulted and coordinated in a meaningful way with sexual assault and domestic violence victim services programs or coalitions.

C. Coordination with the STOP Formula Grant Program and Other Federal Efforts

To ensure the consistency of State goals with respect to reducing violence against women, States that apply for funds through the Arrest Program are encouraged to administer the program through the same agency that administers the STOP Violence Against Women Formula Grant Program, unless there is a compelling reason to place responsibility for this program with a different agency. **Applicants are required to submit a copy of the application to the State agency that administers the STOP Program** to facilitate coordination with that program in their respective States. In addition, applicants are encouraged to coordinate with Victim of Crime Act (VOCA) funded programs in their State. Additional information on VOCA projects can be obtained through the State VOCA Administrator. (A list of these State agencies may be found on the OJP web site at www.ojp.usdoj.gov/state.htm.)

D. Coordination With Other OJP Bureaus, Program Offices and Other Federal Agencies

All applicants should specify additional funding which they currently have or for which they are applying from other OJP Bureaus and Program Offices. These are: the Bureau of Justice Assistance; the Bureau of Justice Statistics; the National Institute of Justice; the Office of Juvenile Justice and Delinquency Prevention; the Office for Victims of Crime; the Corrections Program Office; the Drug Courts Program Office and the Executive Office of Weed and Seed. Applicants also are encouraged to provide information on related funding they may be receiving from the Department of Justice's Office of Community Oriented Policing Services and from offices and bureaus in other Federal agencies.

E. VAWO Technical Assistance Program

Grant recipients must agree to work in collaboration with the Battered Women's Justice Project and other OJP-designated contractors providing technical assistance through the VAWO. Grant recipients will be asked to identify advocates from local domestic violence programs, law enforcement officers, prosecutors, judges, and other representatives from

the criminal justice system and the community to participate in institutes, workshops, and other technical assistance activities or events. As participation in these activities or events often will involve out-of-state travel, **applicants are required to include at least \$15,000 per year (\$25,000 for Statewide, tribal consortia, and multi-statewide projects) in the project budget to support travel costs associated with these activities.** This amount should be included in the budget's "Travel" category, should be accompanied by an estimated number of trips, and should be broken down into estimated costs associated with each trip (airfare, lodging, per diem, cab fare, etc.). The trips can be designated as "VAWO Technical Assistance travel, location to be determined". Additionally, any portion of this amount that would be used to support the travel of nonprofit partners must appear in the "Contracts" category. If this is done, the dollar amount must be designated clearly as travel funds for the nonprofit partners.

ADMINISTRATIVE REQUIREMENTS

A. Single Points of Contact Review

Executive Order 12372 requires applicants from States and units of local government or other organizations providing services within a State to submit a copy of the application to the State Single Points of Contact (SPOC), if one exists, if this program has been selected for review by the State. The State Single Points of Contact are listed in Appendix C of this application kit. Applicants must contact their State SPOC to determine if the program has been selected for State review. The date that the application was sent to the SPOC, or the reason such submission is not required, should be entered in block 16 on the *Application for Federal Assistance*, SF-424.

B. Civil Rights Requirements

All recipients of federal grant funds are required to comply with nondiscrimination requirements contained in various federal laws. If any court or administrative agency makes a finding of discrimination on grounds of race, color, religion, national origin, gender, disability, or age against a recipient of funds after a due process hearing, the recipient must agree to forward a copy of the findings to the OJP Office of Civil Rights. All applicants should consult the *Assurances* required with the application forms to understand the applicable legal and administrative requirements.

C. Supplanting Prohibition

Federal funds must be used to supplement existing funds for program activities and may not replace (supplant) non-Federal funds that have been appropriated for the same purpose. Potential supplanting will be the subject of monitoring and audit. Violations can result in a range of penalties, including suspension of future funds under this Program, suspension or debarment from Federal grants, recoupment of monies provided under this grant, and civil and/or criminal penalties. A written certification in the form of a letter to the Assistant Attorney General of the Office of Justice Programs from the applicant's authorizing official must be included in the application package.

REPORTING REQUIREMENTS

A. Progress Reports

Grantees are required to submit progress reports twice a year. These reports should be used to describe the performance of activities or the accomplishment of objectives as set forth in the approved award application. Progress reports must be submitted within 30 days after the end of the reporting periods, which are June 30 and December 31 for the life of the award. Future awards and fund drawdowns may be withheld if the progress reports are delinquent.

B. Financial Status Reports

Financial status reports (SF 269a) are due quarterly on the 45th day following the end of each calendar quarter. A report must be submitted for every quarter the award is active even if there has been no financial activity during the reporting period. The final report is due 120 days after the end date of the award. Future awards and fund drawdowns may be withheld if the financial status reports are delinquent.

C. Single Audit Report

Recipients who expend \$300,000 or more of Federal funds (from all sources including pass-through awards) during their fiscal year are required to submit a single organization-wide financial and compliance audit report. The audit must be performed in accordance with the provisions of OMB Circular A-133. The audit report is due to the Federal Audit Clearinghouse not later than nine months after the end of the recipient's fiscal year.

SUSPENSION OR TERMINATION OF FUNDING

OJP may suspend, in whole or in part, terminate funding for, or impose another sanction on a grantee for the following reasons:

- ▶ Failure to comply substantially with the requirements or statutory objectives of the Violence Against Women Act and the Violence Against Women Act of 2000, program guidelines issued thereunder, or other provisions of Federal law;
- ▶ Failure to make satisfactory progress toward the goals or strategies set forth in this application;
- ▶ Failure to adhere to the grant requirements, standard conditions, or special conditions;
- ▶ Implementing substantial plan changes to the extent that, if originally submitted, the application would not have been selected for funding;
- ▶ Failure to submit reports; or
- ▶ Filing a false certification in this application or other report or document.

Before imposing sanctions, OJP will provide reasonable notice to the grantee of its intent to impose sanctions and will attempt informally to resolve the problem. Hearing and appeal procedures will follow those in Department of Justice regulations in 28 C.F.R. part 18.

Application Content

Under GMS, the SF-424 will be completed online; the project narrative, budget narrative, the budget worksheet and budget summary, and other program attachments will be submitted online as attachments; and the Memorandum of Understanding (MOU), indirect cost agreements, if applicable, letter of nonsupplanting, letter(s) of support, and Certification of Compliance will be submitted by fax to 202/354-4185 and 202/354-4147 (or online under "other program attachments" if applicants have these documents available electronically). All faxed attachments must include the application number and program name on each page of the document. A fully executed application, for the purposes of this program, must include the following:

1. Application for Federal Assistance (SF-424)

The SF-424 will be completed online via the GMS. A sample of a completed SF-424 is included in Appendix D for your reference. The Catalog of Federal Domestic Assistance number for this Program is 16.590, and the title is: Grants to Encourage Arrest Policies and Enforcement of Protection Orders Discretionary Grants Program.

Eligible grantees for this Program are **States, State and local courts, Indian tribal governments, and units of local government**. For the purposes of this program, a **unit of local government** is any city, county, township, town, borough, parish, village, or other general-purpose political subdivision of a State; an Indian tribe that performs law enforcement functions as determined by the Secretary of the Interior; or, for the purpose of assistance eligibility, any agency of the District of Columbia government or the United States Government performing law enforcement functions in and for the District of Columbia and the Trust Territory of the Pacific Islands. Police departments, pre-trial service agencies, district or city attorneys' offices, sheriffs' departments, probation and parole departments, shelters, universities and nonprofit, nongovernmental victim service agencies are **not** units of local government for the purposes of this grant program. These agencies or organizations may administer grant funds, and they may be responsible for the development and implementation of the project, but they **must apply through a State, State or local court, Indian tribal government, or a local unit of government**.

For purposes of the SF-424, please list the Employer Identification Number (EIN) of the jurisdiction applying for the grant and not the EIN of the agency administering the funds. Applicants must ensure that the information for the authorizing official and alternate contact are filled out correctly. The signing authority is an individual authorized to accept grant funds on behalf of your agency. If the individual applying online is not the signing authority, that individual must list the authorizing official's name and contact information where appropriate.

2. Project Narrative

The Project Narrative may not exceed 15 double-spaced, typed pages for new applicants and 18 pages for current applicants, who must include sections (c) and (d) below in their narrative. Applications must be typed on 8 ½ x 11 inch paper with margins of not less than one inch and type no smaller than 12 point and 12 characters per inch. The narrative should include the following:

a. Summary Data Sheet (not to exceed one page)

On one page, please identify 1) the agency and type of agency (i.e., local government, state government, State or local court, tribal government) applying for funding; 2) the nonprofit, nongovernmental victim service program collaborating on this project; 3) whether this is a new or continuation application; 4) whether this project is a local, tribal, State or local court, state, or tribal consortium project; 5) the area(s) (e.g., city, town, county, state) where this project will be implemented; 6) the population of the area to be served; and, 7) the Arrest Program Purpose Areas

(Required) and Special Interest Categories (Optional) to be addressed.

b. Abstract (not to exceed one page)

Provide a one-page summary describing the proposed project and how it will fit into the applicant's overall strategy to address domestic violence and dating violence in the community.

c. Effectiveness of the Current Project (not to exceed one page):

Continuation applicants only: As a result of VAWA 2000, and in connection with prior programmatic reporting requirements, all grantees are now statutorily required to report on the effectiveness of their programs. Further, VAWO must now report to Congress on the information about program effectiveness that is received from all grantees.

This section should describe the effectiveness of the current project, including descriptions of system and attitudinal changes which have occurred as a result of VAWO grants in your state, tribe or community. Please provide a description that illustrates the "before and after" impact of the existing project, including the total number and trends indicating increases or decreases in the number of persons served and the types of service provided; persons seeking services who could not be served, if possible, and the reason why services could not be provided; 911 calls; arrests; dual arrests; domestic violence case prosecutions; dismissals of domestic violence case prosecutions; domestic homicides; recidivism rates; conviction rates; and protection order violations.

d. Status of the Current Project (not to exceed two pages):

Continuation applicants only: Describe what has been accomplished by the current project, including: 1) a list of the goals and objectives of the original project, describing the status of each; 2) the status of completion of any project products or outcomes; and, 3) unanticipated obstacles to project implementation.

e. Need for the Project (not to exceed two pages): Applicants should submit data, if available, demonstrating the impact of the jurisdiction's current and prior efforts to prevent and reduce domestic violence; identify the population to be served; state why existing programs cannot meet the jurisdiction's needs and how the target population would benefit from the proposed project. In addition, applicants should describe the communities in which they are located. This profile should include descriptions of the size, type (e.g. urban, suburban, or rural), and general population of the community, specifying the diverse, traditionally underserved parts of the community to be served. Also, brief descriptions of the types of resources and services currently available to victims of domestic violence should be included.

f. What Will be Done (not to exceed four pages): All applicants should submit a statement describing how the proposed project would assist the jurisdiction in addressing the identified need, the issues to be addressed during the planning process, and the expected outcomes. Applicants should provide detailed information on the project goals and objectives, describe the specific tasks and activities necessary for accomplishing each goal and objective, and include a timeframe that identifies when those activities will be accomplished. The goals should be specifically related to the Program Purposes and Special Interest Categories to be addressed. All current grantees requesting supplemental funding to expand current project activities should describe how the additional funds will continue and/or enhance the existing program.

- g. Who Will Implement the Project (not to exceed two pages):** All applicants must identify the agency/agencies or office/s responsible for carrying out the project. This section should identify clearly all of the project partners, specifying their respective roles and responsibilities and the collaborative relationship to be developed/enhanced among criminal justice system practitioners, domestic violence advocates, and other community services providers. Applicants are required to coordinate in a meaningful way with nonprofit, nongovernmental domestic violence victim services programs. Applicants should identify the victim services programs partnering on the proposed project and clearly describe how those project partners meet the criteria for domestic violence services programs outlined in this solicitation (*Please refer to the victim services program guidelines on pages 10-12*). Continuation grantees should identify any new partners involved in project activities or in administering the grant.

All applications must include the required MOU (described on page 19 of this Application Kit and in Appendix E) as a separate attachment to the application. Signed MOUs must be faxed separately to both the Violence Against Women Office at 202/354-4185 and to 202/354-4147 by the deadline. All faxed attachments should be labeled with the "Arrest Program" and the application number assigned by the GMS system.

Joint applications from two or more State governments, Indian tribal governments, courts, or units of local government, must fully describe the relationship among the units of government represented in the application. Also, one State, one Indian tribal government, one court, or one unit of local government must be designated to receive and administer grant funds and to manage and coordinate all grant activities.

- h. The Products (not to exceed one page):** This section should describe the products that would be generated by the grantee and how they could be used to assist other jurisdictions that wish to implement mandatory or pro-arrest policies to address domestic violence. Grantees will be required to submit all products to VAWO for review prior to public release.
- i. How Success Will be Measured (not to exceed one page):** All applicants should describe the criteria that will be used to measure the project's effectiveness. This section should explain how the review would be designed to provide an objective assessment of the effectiveness of the procedures, technology, or services supported with the grant funds. If appropriate, the evaluation process should be designed to provide ongoing or periodic feedback on the effectiveness or utility of particular programs, educational offerings, or achievements, which could then be further refined during the remainder of the project period.

As a special condition to the award, grantees will be required to collect and maintain data that measure the impact of the jurisdiction's current and prior efforts to address domestic violence and dating violence. As a result of VAWA 2000, all grant recipients are now statutorily required to report on the effectiveness of their programs. Specifically, grantees should collect data, including baseline information, that illustrates the impact of efforts before and after implementation of any grant-supported strategies, i.e., it is recommended that applicants compile and summarize available data for a period of three or more months prior to the proposed grant period. Again, data to be collected include, but are not limited to: the number of 911 calls; arrests; dual arrests; violations of protection orders; prosecutions and dismissals of domestic violence cases; conviction rates; recidivism; services provided for victims of domestic violence and their children; and, domestic homicide rates. Grantees are statutorily required to report the number of persons served and the number of persons seeking services who could not be served.

- j. Sustainability Plan (not to exceed one page)**

Because this is a discretionary program, there is no guarantee of continuation funding. Applicants are required to include a statement describing their willingness and capacity to continue the project after Arrest Program grants are no longer available.

k. Related Federal projects (not to exceed two pages):

In order to encourage better coordination among Federal agencies in addressing State and local needs, all applicants are requested to provide the following information in their applications:

- active Federal grant awards from OJP Bureaus or Program Offices, the Office of Community Oriented Policing Services or other Federal agencies already supporting this or related efforts¹⁰. For each, the program/project title; the Federal grantor agency; the Federal award amount; and a very brief description of its purpose must be included;
- information on any pending application(s) for Federal money for this or related efforts; and,
- how these would be coordinated with the funding sought through this application.

3. Budget and Budget Narrative

Each application must include a detailed budget and budget summary for the project. The project budget must be complete, reasonable, and cost-effective in relation to the proposed project. The budget should provide the basis for the computation of all project-related costs. It should cover the cost of all components of the project and clearly identify costs attributable to the project evaluation. There must be a clear link between the proposed activities and the proposed budget items. In developing the budget, applicants should bear in mind that all partners, private and public, should be fairly compensated for their participation in any project-related activities, including but not limited to compensation for time and travel expenses to attend required technical assistance workshops. **The budget must include compensation for services rendered by all partners including criminal justice agencies and nonprofit, nongovernmental domestic violence programs, e.g. shelters and advocacy organizations.**

A Budget Detail Worksheet is included in this Application Kit as Appendix F. You will submit your budget, budget summary and budget narrative online as an attachment under "Budget Details". When preparing these items, please use the Budget Detail Worksheet as a guide, including all required budget categories, as needed.

The budget and budget narrative should describe clearly:

- the proposed amount and uses of grant funds over the grant period; and,
- how the amounts of the specific budget items were determined.

Applicants should include in their budget narratives detailed justification for all items

¹⁰ The term *related efforts* is defined for these purposes as: 1) having the same purpose (i.e., the proposed award would supplement, expand, complement, or continue activities funded with other Federal grants); 2) being another phase or component of the same program/project (for example, to implement a planning effort funded by other Federal monies ; and/or 3) providing services of some kind (e.g., technical assistance, research, evaluation) to the program/project described in your application.

budgeted, paying particular attention to the impact on, or connection to, a coordinated community response. Furthermore, applicants must provide assurances that these items will be used primarily to achieve the goals and objectives of the project funded. Consultant rates in excess of \$450 per day require prior approval by VAWO.

All applicants are required to allocate funds (\$25,000 per year for statewide, multi-statewide and tribal consortium projects, and \$15,000 per year for local projects) to support travel costs associated with technical assistance and capacity building activities (e.g., training institutes, site consultations, audio- and video-conferences) sponsored by OJP-designated technical assistance providers. The amount should be included in the "travel" category.

Please provide an estimated breakdown for this amount (include the number of trips, number of travelers, airfare or mileage, lodging, per diem, etc.). These funds are to be used **only** for OJP-designated technical assistance unless otherwise approved by the VAWO. If awarded, VAWO will provide you with information on approved technical assistance activities.

Match is not required for this grant program; however applicants are encouraged to maximize the impact of Federal grant dollars by contributing to the costs of their projects. Supplemental contributions may be cash, in-kind services, or a combination of both. Any supplemental contributions may be discussed in the program narrative, *however, **do not** include these contributions in the budget detail worksheet, the budget narrative, or on the SF-424 form.*

In order to maximize the allocation of scarce grant funds, VAWO may eliminate budget items that do not directly affect victim safety and offender accountability. Although VAWO staff will consider all budget requests, applicants are encouraged to seek alternative sources of funding for:

- vehicles
- weapons
- bullet-proof vests
- cameras
- law enforcement uniforms
- law enforcement uniform cleaning
- police radios

4. Memorandum of Understanding

Each application must include, as an attachment, an MOU¹¹ created and signed by the chief executive officers of all criminal justice agencies and nonprofit, nongovernmental domestic violence programs that will collaborate to plan, develop and implement the project. The MOU must:

- provide a brief history of the collaborative relationship among the partners, including

¹¹ A coordinated community response to domestic violence can be achieved only when all partners enter into a formal, respectful collaboration. Collaboration should be considered the most interactive way of working together while still retaining the separate identities of all the agencies and organizations involved. All parties need to acknowledge that each agency or organization has a special function, a particular authority, and valuable services that it brings to the **joint** effort. Participants in respectful collaborations bring separate organizations into a new structure with full commitment to a common mission. Such relationships require comprehensive planning and well-defined channels of communication at all levels. The collaborative body determines authority. Potential imbalance of power always should be addressed and overcome. In the end, all partners should secure the resources jointly and share the results and rewards.

when and under what circumstances the relationship began and when each partner entered into the relationship;

- specify the extent of each party's participation in developing the application;
- clearly state the roles and responsibilities each organization or agency would assume to ensure the success of the proposed project;
- identify the representatives of the planning and development team who would be responsible for planning, developing and implementing project activities, and describe how they would work together and with project staff;
- indicate approval of the proposed project budget by all signing parties; and,
- describe the resources each partner would contribute to the project, either through time, in-kind contributions or grant funds (for example, office space, project staff, training).

Letters of support may not be submitted in lieu of the MOU.

5. Certifications and Assurances Regarding Arrest Policies

All applicants must submit a letter of certification signed by the **chief executive officer** of the State, Indian tribal government, the State or local court, or the unit of local government applying. The letter must certify that:

- 1) the laws or official policies of the jurisdiction encourage or mandate arrests of domestic violence offenders based on probable cause that an offense has been committed;
- 2) the laws or official policies of the jurisdiction encourage or mandate arrests of domestic violence offenders who violate the terms of a valid and outstanding protection order;
- 3) their laws, policies, or practices and their training programs discourage dual arrests of the offender and the victim;
- 4) their laws, policies, or practices prohibit issuance of mutual restraining orders of protection except in cases where both spouses file a claim and the court makes detailed findings of fact indicating that both spouses acted primarily as aggressors and that neither spouse acted primarily in self-defense; and
- 5) their laws, policies, and practices do not require, in connection with the prosecution of any misdemeanor or felony domestic violence offense, or in connection with the filing, issuance, registration, or service of a protection order, or a petition for a protection order, to protect a victim of domestic violence, stalking, or sexual assault, that the victim bear the costs associated with the filing of criminal charges against the offender, or the costs associated with the filing, issuance, registration, or service of a warrant, protection order, petition for a protection order, or witness subpoena, whether issued inside or outside the State, tribal, or local jurisdiction.

Applicants who do not have (5) above must provide the dates of the next State or Tribal legislative session and assurances that they will be in compliance by the date on which this session ends, or by October 28, 2002.

6. Assurances

Please review carefully the enclosed forms (4000/3), (SF-LLL) and (4061/6) contained in Appendices G and H. You will be agreeing to these assurances and certifications when you submit your application on line through GMS. Note: If the authorizing official is not the individual submitting the application in GMS, be sure the correct authorizing official information has been entered.

7. Non-Supplantation Letter

All applicants must submit a letter to the Assistant Attorney General of OJP certifying that no supplantation of non-Federal funds will take place should a grant award be made. This letter must be signed by a duly authorized government official. A Sample Non-Supplanting Letter is contained in Appendix I.

How To Apply

All Applicants for the Fiscal Year 2002 Arrest Program should submit the following:

- Application for Federal Assistance (SF-424) found in Appendix D, SF-424 Instructions (note: the SF-424 form is included in this application for reference only, as it will be completed online through GMS). See *Appendix B*. The Catalog of Federal Domestic Assistance number for this program is 16.590, and the title is Grants to Encourage Arrest Policies and Enforcement of Protection Orders (Block 10). The federal cognizant audit agency and fiscal year of the applicant organization should be listed in block 11 of the form. **As you are filling out the contact information, GMS will ask you if you are the “signing authority”, you must list the authorizing official’s name and contact information.**

After you have completed the SF-424 and attached the project narrative and budget worksheets in GMS and received confirmation and an application number, please fax any attachments to **both** 202-354-4185 and 202-354-4147. Be sure to reference your application number and the Program title.

- *Assurances (Form 4000/3) and Certifications Regarding Lobbying; Debarment, Suspension, and Other Responsibility Matters; and Drug-free Workplace Requirement (Form 4061/6)*. Review the enclosed forms. You will be agreeing to these assurances and certifications when you submit your application online through the Grants Management System. NOTE: If the authorizing official is not the individual submitting the application in the GMS system, be sure the correct authorizing official information has been entered. See *Forms at Appendices G and H*.
- Budget Detail Worksheet. (note: you will submit your budget, budget summary and budget narrative online as an attachment. When preparing your budget, please use the Budget Detail Worksheet as a guide and include all the required information and budget categories, as needed, in your online document). See *Appendix F*.
- Program Narrative. (note: you will submit your Program Narrative online as a separate attachment).
- Nonbinding Letter of Intent. This letter should be faxed by January 10, 2002 to VAWO at 202-305-2589. The Letter of Intent should not be faxed to 202-354-4147.
- Letter of Nonsupplanting signed by the lead applicant. See *Appendix I*. A letter to the Assistant Attorney General of OJP certifying that supplanting of non-federal funds will not take place should a grant award be made must be faxed to 202-354-

4147 and 202-354-4185. Be sure to reference your application number and program title.

- MOU which must be created, signed, and submitted by representatives from all of the criminal justice agencies and nonprofit, nongovernmental domestic violence programs that will collaborate to plan, develop, and implement the proposed project via facsimile to both 202-354-4147 and 202-354-4185. For a sample Memorandum of Understanding, see *Appendix E*.
- Certification letter, detailed on page 19-20, signed by the chief executive officer of the jurisdiction, certifying that the jurisdiction has implemented, or plans to implement mandatory or pro-arrest policies. Send a copy of the signed letter via facsimile to both 202-354-4147 and 202-354-4185.
- No more than three letters of support from a nonprofit, nongovernmental victim services agency, or from community members should be faxed to both 202-354-4147 and 202-354-4185.

Applications will be accepted immediately, but no later than January 31, 2002. Register online at least two weeks prior to the application deadline (by January 17, 2002). It may take up to one week for you to receive confirmation that you are eligible to apply.

Please Note: Agency policy requires that all applicants submit their applications electronically in order to be considered for a grant under the Arrest Program. However, if the applicant notifies the Agency in advance of the deadline of its inability to submit an application electronically and demonstrates that it has made reasonable efforts to comply with the requirement to submit its application electronically, the Agency may, in its discretion, allow submission of the application through the U.S. Mail and other carriers. Applicants must continue their efforts to submit their applications electronically. An application approved for submission in hard copy/paper version will only be accepted if postmarked no later than the date of the application deadline.

REVIEW PROCESS

OJP will convene expert panels to review all applications, using the selection criteria set forth below. Applications that best meet the selection criteria also will be reviewed by OJP staff. Based on the panel recommendations and staff analyses of the applications, the Assistant Attorney General of OJP will make the final funding decisions.

SELECTION CRITERIA

All applications will be rated on the basis of the criteria set forth below.

- ▶ Jurisdictions must demonstrate, through an MOU, that a plan for a comprehensive, system-wide, coordinated community response to domestic violence has been adopted and that there is a commitment to establishing or maintaining formal collaboration between nonprofit, nongovernmental domestic violence programs (e.g., local battered women's shelters, advocacy organizations or coalitions), and representatives from law enforcement, prosecution, the courts, probation and other criminal justice agencies. **This MOU must be signed by the leadership of all participating nonprofit, nongovernmental domestic violence programs and criminal justice agencies** (e.g., the executive director of the battered women's

shelter, the chief of police, the district or city attorney, the chief judge of a participating court and/or a chief of probation). (See page 19 of this Application Kit and the Sample MOU in Appendix E for a detailed explanation of what is required in the MOU.)

- ▶ The grantee's proposal must address domestic violence as a serious violation of criminal law through one or more of the eight statutory Program Purposes of the Arrest Program (see pages 3-4 of this Application Kit), and may, in addition address one or more of the Special Interest Program Categories (outlined on pages 4-7 of this Application Kit).
- ▶ The proposed project demonstrates meaningful attention to victim safety and offender accountability.
- ▶ The application describes the impact of current or prior efforts to prevent and reduce domestic violence in the jurisdiction and details the need--or continued need-- for the project.
- ▶ The application clearly describes the community to be served--including diverse, traditionally underserved populations of victims of domestic violence (e.g., women of color, immigrant victims, victims in same-sex relationships, victims with disabilities and/or the elderly) and how the proposed project would address their needs.
- ▶ The project activities are clearly described and reflect sound and innovative strategies to improve victim safety and offender accountability.
- ▶ The planning, development and implementation strategy, organizational and staff capability, and general time line are clearly described.
- ▶ The budget is reasonable, as it relates to proposed project activities.
- ▶ The application includes plans to measure program effectiveness and share the results of the project with other jurisdictions that may be interested in adopting similar approaches.

In addition to the criteria set forth above, current grantees applying for continuation or supplemental funding also *must* meet the following criteria:

- ▶ Past activities supported with Arrest Program funds have been limited to addressing the problem of domestic violence as defined by the Omnibus Crime Control and Safe Streets Act of 1968, 42 U.S.C., 3796 hh-4(1).¹²
- ▶ The grantee has attended, and actively participated in, OJP-sponsored workshops and other technical assistance events required as a Special Condition of the current grant award.
- ▶ The grantee has complied with all other Special Conditions of the current grant award.

¹² The term domestic violence includes felony or misdemeanor crimes of violence committed by a current or former spouse of the victim, by a person with whom the victim shares a child in common, by a person who is cohabitating with or has cohabitated with the victim as a spouse, by a person similarly situated to a spouse of the victim under the domestic or family violence laws of the jurisdiction receiving grant monies, or by any other adult person against a victim who is protected from that person's acts under the domestic or family violence laws of the eligible State, Indian tribal government, or unit of local government that receives a grant under the Program.

- ▶ The grantee has completed the project goals and objectives according to the approved time line.
- ▶ The grantee has demonstrated maximum utilization of available resources and an effort to continue the project after Arrest Program funds are exhausted.
- ▶ The grantee has made timely progress in development or completion of the project products.
- ▶ The grantee has complied with the OMB audit requirement.
- ▶ The grantee has adhered to programmatic and financial reporting requirements.

The Violence Against Women Act and subsequent legislation gives priority to applicants that:

(1) do not currently provide for centralized handling of cases involving domestic violence by police, prosecutors, and courts;

(2) demonstrate a commitment to strong enforcement of laws, and prosecution of cases, involving domestic violence, including the enforcement of protection orders from other States and jurisdictions (including tribal jurisdictions);

(3) have established cooperative agreements or can demonstrate effective ongoing collaborative arrangements with neighboring jurisdictions to facilitate the enforcement of protection orders from other States and jurisdictions (including tribal jurisdictions); and

(4) plan to develop and install data collection and communication systems, including computerized systems, and training on how to use these systems effectively to link police, prosecutors, courts, and tribal jurisdictions for the purpose of identifying and tracking protection orders and violations of protection orders in those jurisdictions where such systems do not exist or are not fully effective.

APPENDIX A

Letter of Intent

Letter of Intent

**Office of the Director
Violence Against Women Office
Office of Justice Programs
810 Seventh Street, NW
Washington, DC 20531**

To Whom It May Concern:

I intend to apply for funds under the Grants to Encourage Arrest Policies and Enforcement of Protection Orders Program of the Violence Against Women Office.

Organization: _____

Address: _____

Name: _____

Position: _____

Date: _____

Phone: _____

FAX: _____

E-mail: _____

**Please FAX to 202/305-2589.
Please submit by January 10, 2002**

APPENDIX B

Quick Start Guide

Quick-Start Guide to Using the Office of Justice Programs Online Grants Management System

- ◆ **Step 1.** Using your established Internet account,* go to www.ojp.usdoj.gov/fundopps.htm. An online **GMS Application Procedures Handbook** is available on this page, and you may link directly to OJP's Grants Management System (GMS), which will provide online "help" screens.
- ◆ **Step 2.** Select "Logon to the Grants Management System (GMS)" to apply for OJP grant funding.
- ◆ **Step 3.** If you have never used GMS, click on "New User? Register Here" and follow the on-screen instructions to register with GMS. After you register, you must pick the **FY 2002 Grants to Encourage Arrest Policies and Enforcement of Protection Orders Program Solicitation** and begin working on it so that your registration will be sent to the **Violence Against Women Office**. After registration, you will receive confirmation through email that you are eligible to submit an application. Confirmation may take up to one week.

If you are not a new user and have a GMS password, click on "Login." If your password has expired, you will receive an "Authentication Error" or "Unauthorized User" message. In this case, click on "Having Login Problems?" for assistance in updating your password.

Please Note: Applicants must ensure that the information for the authorizing official and alternate contact is entered correctly. The authorizing official is the individual authorized to accept grant funds in your organization (e.g., executive director, attorney general, governor). If the individual applying online is not the signing authority, that individual must list the authorizing official's name and contact information where appropriate.

- ◆ **Step 4.** To submit your application online, complete the on-screen *424/Application for Federal Assistance* and attach and upload your budget detail and budget narrative, program narrative, and other program attachments in either word processing or spreadsheet files. After submission, you will receive confirmation through email that VAWO has received your application and you will be given an application number for future reference. Documents that cannot be submitted electronically through GMS (e.g. MOU, nonsupplantation letter,

letter(s) of support and Certification of Compliance) must be faxed to both (202) 354-4185 and (202) 354-4147. *You must include your GMS application number and the Program title, Grants to Encourage Arrest Program, on all materials submitted by fax.*

If you have any questions about GMS or need technical assistance with applying online, contact the GMS Hotline at 1-888-549-9901.

**If you do not have an Internet account, call the GMS Hotline at 1-888-549-9901 for assistance.*

All applicants including current grantees, intending to apply for this funding are encouraged to submit the non-binding letter of intent included in Appendix A to the VAWO by *January 10, 2002*. You may fax the letter to VAWO at (202) 305-2589. We will use these letters to forecast the number of peer review panels needed to review competitive applications.

Please note that final applications are due *January 31, 2002*, and will be accepted only through the Office of Justice Program's online *Grants Management System (GMS)*. *In addition, applicants should register online at least two weeks prior to the application deadline. It may take up to one week for you to receive confirmation that you are eligible to apply.* Applications sent by fax or mail will not be accepted. See *How to Apply*, page 20, for more information.

APPENDIX C

Single Points of Contact

INTERGOVERNMENTAL REVIEW PROCESS

Executive Order 12372 requires applicants from State and local units of government or other organizations providing service within a State to submit a copy of the application to the State Single Point of Contact (SPOC), if one exists, and if this program has been selected for review by the State. You must contact your State SPOC to find out if this program has been selected for review by your State.

In accordance with Executive Order #12372, "Intergovernmental Review of Federal Programs," Section 4, the Office of Management and Budget (OMB) shall maintain a list of official State entities designated by the States to review and coordinate proposed Federal financial assistance and direct Federal development. This listing is the OFFICIAL OMB LISTING. This listing is also published in the Catalogue of Federal Domestic Assistance biannually.

States that are not listed no longer participate in the intergovernmental review process but MAY still apply for grants. These include: Alaska; American Samoa; Colorado; Connecticut; Kansas; Hawaii; Idaho; Louisiana; Massachusetts; Minnesota; Montana; Nebraska; Oklahoma; Oregon; Pennsylvania; South Dakota; Tennessee; Virginia; and Washington. This list is based on the most current information provided by the States. Changes to the list will only be made upon formal notification by the State.

ARIZONA Joni Saad Arizona State Clearinghouse 3800 N. Central Avenue Fourteenth Floor Phoenix, Arizona 85012 Telephone (602) 280-1315 FAX: (602) 280-1305	Research 1400 Tenth Street, Room 121 Sacramento, California 95814 Telephone (916) 323-7480 FAX (916) 323-3018	Telephone: (202) 727-6554 FAX: (202) 727-1617
ARKANSAS Mr. Tracy L. Copeland Manager, State Clearinghouse Office of Intergovernmental Services, Department of Finance and Administration 1515 W. 7th St., Room 412 Little Rock, Arkansas 72203 Telephone: (501) 682-1074 FAX: (501) 682-5206 tlcopeland@dfa.state.ar.us	DELAWARE Francine Booth State Single Point of Contact Executive Department Thomas Collins Building P.O. Box 1401 Dover, Delaware 19903 Telephone: (302) 739-3326 FAX: (302) 739-5661 fbooth@state.de.us	FLORIDA Florida State Clearinghouse Department of Community Affairs 2740 Centerview Drive Tallahassee, Florida 32399-2100 Telephone: (904) 922-5438 FAX: (904) 487-2899 cherie.trainor@dcs.state.fl.us
CALIFORNIA Grants Coordinator Office of Planning &	DISTRICT OF COLUMBIA Charles Nichols State Single Point of Contact Office of Grants Mgmt. & Development. 717 14th Street, N.W. - Suite 500 Washington, D.C. 20005	GEORGIA Deborah Stephens Administrator Georgia State Clearinghouse 254 Washington Street, S.W. - Room 401J Atlanta, Georgia 30334 Telephone: (404) 656-3855 or FAX: (404) 656-7901 ssda@mail.opb.state.ga.us

ILLINOIS
Virginia Bova
State Single Point of
Contact
Department of
Commerce and
Community Affairs
620 East Adams
Springfield, Illinois
62701

Telephone: (217) 814-
6028
FAX: (217) 814-1800

INDIANA
Frances Williams
State Budget Agency
212 State House
Indianapolis, Indiana
46204

Telephone: (317) 232-
2972
FAX: (317) 233-3323

IOWA
Steven R. McCann
Division for Community
Assistance, Iowa
Department of Economic
Development
200 East Grand Avenue
Des Moines, Iowa 50309

Telephone: (515) 242-
4719
FAX: (515) 242-4859
steve.mccann@ided.state
.ia.us

KENTUCKY
Kevin J. Goldsmith,
Director
Sandra Brewer,
Executive Secretary
Intergovernmental
Affairs
Office of the Governor
700 Capitol Center
Avenue
Frankfort, Kentucky
40601

Telephone: (502) 564-
2611
FAX: (502) 564-2849
sbrewer@mail.state.ky.u
s

MAINE
Joyce Benson

State Planning Office
184 State Street
38 State House Station
Augusta, Maine 04333

Telephone: (207) 287-
3261
FAX: (207) 287-6489
joyce.benson@state.me.u
s

MARYLAND
Linda Janney, Manager
Plan and Project Review
Maryland Office of
Planning
301 W. Preston Street -
Room 1104
Baltimore, Maryland
21201-2365

Telephone: (410) 767-
4490
FAX: (410) 767-4480
linda@mail.op.state.md.
us

MICHIGAN
Richard Pfaff
Southeast Michigan
Council of Governments
1900 Edison Plaza
660 Plaza Drive
Detroit, Michigan 48226

Telephone: (313) 961-
4266
FAX: (313) 961-4869
pfaff@semcog.org

MISSISSIPPI
Cathy Mallette
Clearinghouse Officer
Department of Finance
and Administration
455 North Lamar Street
Jackson, Mississippi
39202-3087

Telephone: (601) 359-
6762
FAX: (601) 359-6764

MISSOURI
Lois Pohl
Federal Assistance
Clearinghouse
Office Of
Administration
P.O. Box 809
Room 760, Truman
Building

Jefferson City, Missouri
65102

Telephone: (314) 751-
4834
FAX: (314) 751-7819

NEVADA
Department of
Administration
State Clearinghouse
Capitol Complex
Carson City, Nevada
89710

Telephone: (702) 687-
4065
FAX: (702) 687-3983
Contact: Heather Elliot
(702) 687-6367
helliot@govmail.state.nv.
us

NEW HAMPSHIRE
Jeffrey H. Taylor
Director, New
Hampshire Office of
State Planning
Attn: Intergovernmental
Review Process
Mike Blake
2 ½ Beacon Street
Concord, New
Hampshire 03301

Telephone: (603) 271-
21557
FAX: (603) 271-1728

NEW MEXICO
Nick Mandell
Local Government
Division
Room 201 Bataan
Memorial Building
Santa Fe, New Mexico
87503

Telephone: (505) 827-
3640
FAX (505) 827-4984

NEW YORK
New York State
Clearinghouse
Division of the Budget
State Capitol
Albany, New York 12224

Telephone: (518) 474-
1605
FAX (518) 486-5617

NORTH CAROLINA

Jeanette Furney
(Grants)
Chrys Baggett
(Environment)
N.C. State Clearinghouse
Office of the Secretary of
Administration.
116 West Jones Street
Raleigh, North Carolina
27603-8003

Telephone: (919) 733-
7232
FAX: (919) 733-9571

NORTH DAKOTA

North Dakota Single
Point of Contact
Office of
Intergovernmental
Assistance
600 East Boulevard
Avenue
Bismarck, North Dakota
58505-0170

Telephone: (701) 224-
2094
FAX: (701) 224-2308

OHIO

Larry Weaver
State Single Point of
Contact
State Clearinghouse
Office of Budget and
Management
30 East Broad Street,
34th Floor
Columbus, Ohio 43266-
0411

*Please direct
correspondence and
questions about
intergovernmental review
to:*

Linda Wise
Telephone: (614) 466-
0698
FAX: (614) 466-5400

RHODE ISLAND

Kevin Nelson
Review Coordinator
Department of
Administration
Division of Planning
One Capitol Hill, 4th
Floor
Providence, Rhode

Island 02908-5870

Telephone: (401) 222-
2280
FAX: (401) 222-2083

SOUTH CAROLINA

Rodney Grizzle
State Single Point of
Contact
Budget and Control
Board
Office of the Governor
1122 Ladies Street - 12th
Floor
Columbia, South
Carolina 29201

Telephone: (803) 734-
0485
FAX: (803) 734-0645
agrizzle@budget.state.sc.
us

TEXAS

Tom Adams
Governors Office
Director,
Intergovernmental
Coordination
P.O. Box 12428
Austin, Texas 78711

Telephone: (512) 463-
1771
FAX: (512) 463-1888
tadams@governor.state.t
x.us

UTAH

Carolyn Wright
Utah State
Clearinghouse
Office of Planning and
Budget
Room 116 State Capitol
Salt Lake City, Utah
84114

Telephone: (801) 538-
1535
FAX: (801) 538-1547
cwright@state.ut.us

WEST VIRGINIA

Fred Cutlip, Director
West Virginia
Development Office
Building #6, Room 645
State Capitol
Charleston, West
Virginia 25305
Telephone: (304) 558-

0350

FAX: (304) 558-0362
fcutlip@wvdo.org

WISCONSIN

Jeff Smith, Section Chief
State/Federal Relations
Wisconsin Department
of Administration
101 East Wilson Street -
6th Floor
P.O. Box 7868
Madison, Wisconsin
53707

Telephone: (608) 266-
0267
FAX: (608) 267-6931
sjt@mail.state.wi.us

WYOMING

Sandy Ross
State Single Point of
Contact
Department of
Administration and
Information
2001 Capitol Avenue,
Room 214
Cheyenne, WY 82002

Telephone: (307) 777-
5492
FAX: (307) 777-3696
srossl@missc.state.wy.us

TERRITORIES**GUAM**

Joseph Rivera, Acting
Director
Bureau of Budget and
Management Research
Office of the Governor
P.O. Box 2950
Agana, Guam 96910

Telephone: 011-671-475-
9411
FAX: 011-671-472-
2825

PUERTO RICO

Jose Cabellero-Mercado
Chairman
Puerto Rico Planning
Board
Federal Proposals
Review Office
Minillas Government
Center
P.O. Box 41119
San Juan, Puerto Rico
00940-1119

**Telephone: (809) 727-4444 or
(809) 723-6190
FAX: (809) 724-3270
or**

**NORTH MARIANA
ISLANDS
Alvaro A. Santos,
Executive Officer
Office of Management
and Budget
Office of the Governor
Saipan, MP 96950**

**Telephone: (670) 664-2256
FAX: (670) 664-2272**

**Contact person: Ms.
Jacoba T. Seman
Federal Programs
Coordinator**

**Telephone: (670) 664-2289
FAX: (670) 664-2272**

**VIRGIN ISLANDS
Nellon Bowry
Director, Office of
Management and Budget
#41 Norregade
Emancipation Garden
Station
Second Floor
Saint Thomas, Virgin
Islands 00802**

*Please direct all questions
and correspondence
about*

*intergovernmental review
to:*

**Daisey Millen
Telephone: (809) 774-0750
FAX: (809) 776-0069**

Appendix D

Standard Application Form (Form SF-424)

APPLICATION FOR FEDERAL ASSISTANCE

OMB Approval No. 0348-0043

1. TYPE OF SUBMISSION: <i>Application</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction <i>Preapplication</i> <input type="checkbox"/> Construction <input type="checkbox"/> Non-Construction		2. DATE SUBMITTED	Applicant Identifier														
		3. DATE RECEIVED BY STATE	State Application Identifier														
		4. DATE RECEIVED BY FEDERAL AGENCY	Federal Identifier														
5. APPLICANT INFORMATION																	
Legal Name:		Organizational Unit:															
Address (give city, county, state and zip code):		Name and telephone number of the person to be contacted on matters involving the application (give area code)															
6. EMPLOYER IDENTIFICATION (EIN) <div style="border: 1px solid black; width: 100px; height: 20px; margin: 5px 0;"></div> <div style="border: 1px solid black; width: 100px; height: 20px; margin: 5px 0;"></div>		7. TYPE OF APPLICANT: (enter appropriate letter in box) <input type="checkbox"/> <table style="width: 100%; font-size: small;"> <tr> <td>A. State</td> <td>H. Independent School Dist.</td> </tr> <tr> <td>B. County</td> <td>I. State Controlled Institution of Higher Learning</td> </tr> <tr> <td>C. Municipal</td> <td>J. Private Industry</td> </tr> <tr> <td>D. Township</td> <td>K. Indian Tribe</td> </tr> <tr> <td>E. Interstate</td> <td>L. Individual</td> </tr> <tr> <td>F. Intermunicipal</td> <td>M. Profit Organization</td> </tr> <tr> <td>G. Special District</td> <td>N. Other (specify): _____</td> </tr> </table>		A. State	H. Independent School Dist.	B. County	I. State Controlled Institution of Higher Learning	C. Municipal	J. Private Industry	D. Township	K. Indian Tribe	E. Interstate	L. Individual	F. Intermunicipal	M. Profit Organization	G. Special District	N. Other (specify): _____
A. State	H. Independent School Dist.																
B. County	I. State Controlled Institution of Higher Learning																
C. Municipal	J. Private Industry																
D. Township	K. Indian Tribe																
E. Interstate	L. Individual																
F. Intermunicipal	M. Profit Organization																
G. Special District	N. Other (specify): _____																
8. TYPE OF APPLICATION: <input type="checkbox"/> New <input type="checkbox"/> Continuation <input type="checkbox"/> Revision If Revision, enter appropriate letter(s) in box(es): <input type="checkbox"/> <input type="checkbox"/> A. Increase Award B. Decrease Award C. Increase Duration D. Decrease Duration Other (specify): _____		9. NAME OF FEDERAL AGENCY:															
10. CATALOG OF FEDERAL DOMESTIC ASSISTANCE NUMBER: <div style="border: 1px solid black; width: 40px; height: 20px; display: inline-block;"></div> - <div style="border: 1px solid black; width: 40px; height: 20px; display: inline-block;"></div> TITLE: _____		11. DESCRIPTIVE TITLE OF APPLICANTS PROJECT:															
12. AREAS AFFECTED BY PROJECT (cities, counties, states, etc.):																	
13. PROPOSED PROJECT:		14. CONGRESSIONAL DISTRICTS OF:															
Start Date	Ending Date	a. Applicant	b. Project														
15. ESTIMATED FUNDING:		16. IS APPLICATION SUBJECT TO REVIEW BY STATE EXECUTIVE ORDER 12372 PROCESS? a. YES. THIS PREAPPLICATION/APPLICATIN WAS MADE A VALIABLE TO THE STATE EXECUTIVE ORDER 12372 PROCESS FOR REVIEW ON: DATE _____ b. NO. <input type="checkbox"/> PROGRAM IS NOT COVERED BY E.O. 12372 <input type="checkbox"/> OR PROGRAM HAS NOT BEEN SELECTED BY STATE FOR REVIEW															
a. Federal	\$.00																
b. Applicant	\$.00																
c. State	\$.00																
d. Local	\$.00																
e. Other	\$.00																
f. Program Income	\$.00																
g. TOTAL	\$.00	17. IS THE APPLICANT DELINQUENT ON ANY FEDERAL DEBT? <input type="checkbox"/> Yes If "Yes," attach an explanation. <input type="checkbox"/> No															
18. TO THE BEST OF MY KNOWLEDGE AND BELIEF, ALL DATA IN THIS APPLICATION/PREAPPLICATION ARE TRUE AND CORRECT, THE DOCUMENT HAS BEEN DULY AUTHORIZED BY THE GOVERNING BODY OF THE APPLICANT AND THE APPLICANT WILL COMPLY WITH THE ATTACHED ASSURANCES IF THE ASSISTANCE IS AWARDED																	
a. Typed Name of Authorized Representative		b. Title	c. Telephone number														
d. Signature of Authorized Representative		e. Date Signed															

Instructions for Completion of the Application for Federal Assistance (SF 424)

The Application for Federal Assistance is a standard form used by most federal agencies. This form contains 18 different items which are to be completed before submission. All applications should include a completed and signed SF 424.

Item	Instructions
1	Type of Submission: If this proposal is not for construction or building purposes, check the “Non-Construction” box in the application section.
2	Date Submitted: Indicate the date you sent the application to OJP. The “Application Identifier” is the number assigned by your jurisdiction, if any, to track applications. If your jurisdiction does not assign an identifier number, leave this space blank.
3	Date Received by State: Leave blank. This item is completed by the State single point of contact, if applicable.
4	Date Received by Federal Agency: Leave blank. This item will be completed by OJP.
5	Applicant Information: The “Legal Name” is the unit of government of the parent organization. For example, the primary or parent organization of a law enforcement agency is the name of the city or township. Thus the city or township should be entered into the Legal Name box and the name of the law enforcement agency would be entered into the Organizational Unit box. Designate one person as the contact and include their telephone number. It is not unusual for the name of the contact person to differ from the authorized representative in Item 18 below.
6	Employer Identification Number: Each employer receives an employer identification number from the Internal Revenue Service. Generally, this number can be easily obtained from your agency’s accountant or comptroller.
7	Type of Applicant: Enter the appropriate letter in this space. If the applicant is representing a consortium of agencies, specify by checking Block N and entering “consortium”.
8	Type of Application: Check either “new” or “continuation”. Check “new”, if this will be your first award for the purpose described in the application, even if the applicant has received prior awards for other purposes. Check “continuation”, if the project will continue activities of a project, including minor modifications, or implement the next phase of a project that was begun under a prior award.
9	Name of Federal Agency: Type in the name of the awarding agency, “[insert agency name]”
10	Catalog of Federal Domestic Assistance Number: This would be contained in the program announcement. The number for this program would be [insert number].
11	Descriptive Title of Applicant’s Project: Type in the: (1) title of the program as it appears in the solicitation or announcement; (2) name of the cognizant Federal agency, ex. U.S. Department of Education; and (3) applicant’s fiscal year, i.e. twelve month audit period, ex. 10/1/97 - 9/30/98.
12	Areas Affected by Project: Identify the geographic area(s) of the project. Indicate “Statewide” or “National”, if applicable.
13	Proposed Project Dates: Fill in the proposed begin and end dates of the project. These dates may be adjusted by the Office of Justice Programs when the award is made.
14	Congressional Districts: Fill in the Congressional Districts in which the project will be located as well as the Congressional District(s) the project will serve. Indicate “Statewide” or “National”, if applicable.
15	Estimated Funding: In line “a”, enter the Federal funds requested, not to exceed the dollar amount allocated in the program announcement. Indicate any other resources that will be available to the project and the source of those funds on lines “b-f,” as appropriate.

16	State Executive Order 12372: Some states require you to submit your application to a State “Single Point of Contact” (SPOC) to coordinate applications for Federal funds within the state. If your State requires a copy of your application, indicate the date submitted. If a copy is not required, indicate the reason. (Refer to the “Administrative Requirements” section of the program announcement, for more information.) The SPOC is not responsible for forwarding your application to the Federal awarding agency.
17	Delinquent Federal Debt: This question applies to the applicant organization. Categories of debt include delinquent audit allowances, loans, and taxes.
18	Authorized Representative: Type in the name of the person legally authorized to enter into agreements on behalf of your agency. The signature on the original application must be signed in blue ink and/or stamped as “original” to help distinguish the original from the photocopies.

Appendix E

Sample Memorandum of Understanding

MEMORANDUM OF UNDERSTANDING

(SAMPLE)

The Community Domestic Violence Program (CDVP) enters into a Memorandum of Understanding (MOU) with the Community Office of the Prosecuting Attorney (COPA).

History of Relationship

CDVP has been collaborating with COPA and other local agencies in the prevention, intervention and prosecution of domestic violence for many years. Beginning in 1988, the Director of CDVP and the COPA met monthly with representatives from other agencies as part of a Violence Intervention Task Force. In 1991, a smaller subcommittee of the larger task force began to meet separately to lay the ground work for a comprehensive, ongoing, coordinated response to domestic violence. The Community Assault Intervention Program (CAIP) is the product of these efforts. Since 1993, when the program was implemented, CAIP members have met on a regular basis to discuss more effective strategies for domestic violence prevention, intervention, prosecution and sentencing of batterers. The group is comprised of representatives from local law enforcement, prosecution, members from the CDVP, the judiciary, local counselors and therapists, student interns, court staff, and others who are interested and involved in these efforts.

Another example of the collaborative activities between CDVP and COPA is one that is ongoing. CDVP first received a STOP Violence Against Women Formula Grant in 1996 and established an Outreach Worker position to assist victims in the District Court. This position was in place prior to the COPA receiving the VAWA Grants to Encourage Arrest Policies grant, and formation of its Family Intervention Services Team (FIST). After FIST was formed, COPA and CDVP collaborated to meet victim needs. CDVP has dedicated a portion of one of its Outreach Worker's time to working with the COPA in addressing ongoing victim safety issues before and during trial.

Development of the Application

Discussions regarding the collaborative effort which is proposed in the application and detailed in this Memorandum began in earnest in February, 1998. An early meeting between the Director of CDVP (Director) and the Unit Leader of the COPA Domestic Violence Unit (Unit Leader) was held to exchange basic information about the proposed safety program. The concept was later brought to CAIP for discussion, input and recommendations. A subcommittee from CAIP, of which the Unit Leader and Director are members, was formed to discuss specific guidelines for implementation of the safety program. The Director thereafter conducted an independent study of similar safety programs in other jurisdictions. Recent meetings between the Director and Unit Leader have led to the agreement reflected in this Memorandum and the submission of the grant application to fund this collaborative effort.

Roles and Responsibilities

Office of the Prosecuting Attorney

- ! The FIST Unit Leader will provide co-leadership with the Director of the CDVP for all non-administrative duties related to the implementation of the safety program offered through AAA Security Services, Inc.

- ! Pay CDVP \$24,000 (or \$2,000/month) for providing the following services and/or as compensation for the following expenses:
 - A. Salary paid to the Director for administration of the safety program;
 - B. Salary paid to the Outreach Worker assigned to implement the safety program;
 - C. Mileage reimbursement for necessary travel; and,
 - D. Telephone charges.

- ! The FIST Unit Leader will participate as a member in the Program Review Committee, which will meet periodically to establish specific procedures and guidelines, review eligibility criteria and serve as a resource for the Outreach Worker and Director as questions/problems arise.

- ! Refer domestic violence victims to the program Outreach Worker for a determination regarding eligibility.

- ! Promote training/education of local law enforcement agencies and COPA staff regarding the program.

Community Domestic Violence Program

- a. The Director of CDVP will provide co-leadership with the FIST Unit Leader for all non-administrative duties related to the implementation of the safety program offered through AAA Security Services.

- b. Furnish an Outreach Worker 10 hours weekly to implement the Program. Specific duties:
 - a. Act as a single point of contact for police agencies, COPA and AAA representatives;
 - b. Determine eligibility for program participation based on established criteria;
 - c. Make necessary arrangements for security device placement and retrieval;
 - d. Conduct follow up with victims as recommended by Review Committee; and
 - e. Submit reports as recommended by Review Committee.

- c. The DAP Director will participate as a member in the Program Review Committee.

- d. Submit documentation for financial accounting as needed.

- e. Provide office space for the Outreach Worker as well as office supplies necessary for safety program administration.

Time Line

The roles and responsibilities described above are contingent on the COPA receiving the funds requested for this project in the VAWA grant application. The beginning and end dates of this collaborative effort would coincide with the grant period, anticipated to be October 1, 2002 through

March 31, 2004.

Approval

We, the undersigned have read and agree with this MOU. Further, we have reviewed the portion of the proposed project budget pertaining to the collaborative effort described here, and approve it.

By_____

By_____

Prosecuting Attorney

**Director, Community Domestic Violence
Program**

Date_____

Date_____

Appendix F

Budget Detail Worksheet and Sample Budget

OMB Approval No. 1121-0188
Expires 5-98
(Rev. 12/97)

Budget Detail Worksheet

Purpose: The Budget Detail Worksheet may be used as a guide to assist you in the preparation of the budget and budget narrative. You may submit the budget and budget narrative using this form or in the format of your choice (plain sheets, your own form, or a variation of this form). However, all required information (including the budget narrative) must be provided. Any category of expense not applicable to your budget may be deleted.

A. Personnel - List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

<u>Name/Position</u>	<u>Computation</u>	<u>Cost</u>
----------------------	--------------------	-------------

TOTAL _____

B. Fringe Benefits - Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project. Fringe benefits on overtime hours are limited to FICA, Workman's Compensation, and Unemployment Compensation.

<u>Name/</u>	<u>Position</u>	<u>Computation</u>	<u>Cost</u>	-
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TOTAL _____

Total Personnel & Fringe Benefits _____

C. Travel - Itemize travel expenses of project personnel by purpose (e.g., staff to training, to field interviews, to advisory group meeting). Show the basis of computation (e.g., six people to 3- day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and unit costs involved. Identify the location of travel, if known. Indicate source of travel policies applied: applicant's or federal travel regulations.

Purpose of Travel Location Item Computation Cost

TOTAL _____

D. Equipment - List nonexpendable items that are to be purchased (Note: Organization's own capitalization policy for classification of equipment should be used). Expendable items should be included in the "Supplies" category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the "Contractual" category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used.

Item Computation

Cost

TOTAL _____

E. Supplies - List items by type (e.g., office supplies, postage, training materials, copying paper, and other expendable items, such as books and hand held tape recorders) and show the basis for computation. Generally, supplies include any materials that are expendable or consumed during the course of the project.

Supply Items Computation Cost

TOTAL _____

F. Construction - As a rule, construction costs are not allowable. In some cases, minor repairs or renovations may be allowable. Consult with the program office before budgeting funds in this category.

<u>Purpose</u>	<u>Description of Work</u>	<u>Cost</u>
-----------------------	-----------------------------------	--------------------

TOTAL _____

G. Consultants/Contractors - Indicate whether applicant's formal, written procurement policy or the Federal Acquisition Regulations are followed.

Consultant Fees: For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$450 per day require additional justification and prior approval from OJP.

<u>Name of Consultant</u>	<u>Service Provided</u>	<u>Computation</u>	<u>Cost</u>
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Subtotal _____

Consultant Expenses: List all expenses to be paid from the grant to the individual consultant in addition to his or her fees (i.e., travel, meals, lodging)

<u>Item</u>	<u>Location</u>	<u>Computation</u>	<u>Cost</u>
-------------	-----------------	--------------------	-------------

Subtotal _____

Contracts: Provide a description of the product or services to be procured by contract and an estimate of the cost. Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

<u>Item</u>	<u>Cost</u>
-------------	-------------

Subtotal _____

TOTAL _____

H. Other Costs - List items (e.g., rent, document reproduction, telephone, janitorial or security services, and investigative or confidential funds) by major type and the basis of the computation. For example, provide the square footage and the cost per square foot for rent, and provide a monthly rental cost and how many months to rent.

<u>Description</u>	<u>Computation</u>	<u>Cost</u>
--------------------	--------------------	-------------

TOTAL _____

I. Indirect Costs - Indirect costs are allowed only if the applicant has a federally approved indirect cost rate. A copy of the rate approval (a fully executed, negotiated agreement) must be attached. If the applicant does not have an approved rate, one can be requested by contacting the applicant's cognizant federal agency, which will review all documentation and approve a rate for the applicant organization, or if the applicant's accounting system permits, costs may be allocated in the direct costs categories.

<u>Description</u>	<u>Computation</u>	<u>Cost</u>
--------------------	--------------------	-------------

TOTAL _____

Budget Summary - When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of federal funds requested and the amount of nonfederal funds that will support the project.

<u>Budget Category</u>	<u>Amount</u>
A. Personnel	_____
B. Fringe Benefits	_____
C. Travel	_____
D. Equipment	_____
E. Supplies	_____
F. Construction	_____
G. Consultants/Contracts	_____
H. Other	_____
Total Direct Costs	_____
I. Indirect Costs	_____
TOTAL PROJECT COSTS	_____

Federal Request _____

Nonfederal Amount _____

SAMPLE

OMB Approval No. 1121-0188

Expires 5-98 (Rev. 12/97)

Budget Detail Worksheet

Purpose: The Budget Detail Worksheet may be used as a guide to assist you in the preparation of the budget and budget narrative. You may submit the budget and budget narrative using this form or in the format of your choice (plain sheets, your own form, or a variation of this form). However, all required information (including the budget narrative) must be provided. Any category of expense not applicable to your budget may be deleted.

(Example assumes an 12 month budget period.)

A. Personnel - List each position by title and name of employee, if available. Show the annual salary rate and the percentage of time to be devoted to the project. Compensation paid for employees engaged in grant activities must be consistent with that paid for similar work within the applicant organization.

<u>Name/Position</u>	<u>Computation</u>	<u>Cost</u>
Ellen Smith, Investigator	$(\$50,000 \times 100\% \times 1)$	\$50,000
2 advocates	$(\$50,000 \times 100\% \times 1 \times 2)$	\$100,000
Administrative Assistant	$(\$40,000 \times 50\% \times 1)$	<u>\$20,000</u>
		\$170,000
Cost of living increase	$(\$170,000 \times 2\% \times .5yr .)$	\$1,700
Overtime per investigator	$(\$37.5/hr \times 100 \text{ hrs})$	\$3,750

The investigator and the advocates will be assigned exclusively to domestic violence unit. A half-time secretary will prepare reports and provide other support to the unit. A 2% cost of living adjustment is scheduled for all personnel 6-months prior to the end of the grant. Overtime will be needed during some investigations.

TOTAL \$175,450

B. Fringe Benefits - Fringe benefits should be based on actual known costs or an established formula. Fringe benefits are for the personnel listed in budget category (A) and only for the percentage of time devoted to the project. Fringe benefits on overtime hours are limited to FICA, Workman's Compensation, and Unemployment Compensation.

<u>Name/Position</u>	<u>Computation</u>	<u>Cost</u>
Investigator & 2 Advocates		-
Employer's FICA	\$171,700 x 7.65%	\$13,135
Retirement	\$171,700 x 6%	\$10,302
Health Insurance	\$171,700 x 12%	\$20,604
Workman's Compensation	\$171,700 x 1%	\$ 1,717
Unemployment Compensation	\$171,700 x 1%	\$ 1,717
Investigator Overtime		
FICA	\$3,750 x 7.65%	\$ 287
Workman's Compensation	\$3,750 x 1%	\$ 38
Unemployment Compensation	\$3,750 x 1%	\$ 38
	TOTAL	<u>\$47,838</u>

C. Travel - Itemize travel expenses of project personnel by purpose (e.g., staff to training, field interviews, advisory group meeting, etc.). Show the basis of computation (e.g., six people to 3- day training at \$X airfare, \$X lodging, \$X subsistence). In training projects, travel and meals for trainees should be listed separately. Show the number of trainees and unit costs involved, Identify the location of travel, if known. Indicate source of Travel Policies applied, Applicant or Federal Travel Regulations.

<u>Purpose of Travel</u>	<u>Location</u>	<u>Item</u>	<u>Computation</u>	<u>Cost</u>
Training	Minneapolis	Airfare	(\$150 x 2 people x 2 trips)	\$ 600
		Hotel	(\$75/night x 2 nights x 2 people x 2 trips)	\$ 600
		Meals	(\$35/day x 3 days x 2 people x 2 trips)	\$ 420

The two advocates will attend training on domestic violence in Minneapolis in October.

\$15,000 OJP-designated Technical Assistance (Locations unknown at this time)

1 trip, Investigator	Airfare	(1 x \$525)	\$ 525
	Lodging	(\$75/night x 4 nights)	\$ 300
	Per Diem	(\$35/day x 5 days)	\$ 175

3 trips, Investigator & 2 Advocates	Airfare	(3 persons x 3 trips x \$525)	\$ 4,725
	Lodging	(3 persons x 3 trips x \$75/night X 4 nights)	\$ 2,700
	Per Diem	(3 persons x 3 trips x \$35/day X 5 days)	\$ 1,575

The organization's established travel policies will be utilized.

TOTAL \$11,620

D. Equipment -List non-expendable items that are to be purchased (Note: Organization's own capitalization policy for classification of equipment should be used). Expendable items should be included in the "Supplies" category. Applicants should analyze the cost benefits of purchasing versus leasing equipment, especially high cost items and those subject to rapid technical advances. Rented or leased equipment costs should be listed in the "Contractual" category. Explain how the equipment is necessary for the success of the project. Attach a narrative describing the procurement method to be used

<u>Item</u>	<u>Computation</u>	<u>Cost</u>
3 -Pentium III Processor	(\$2,000 x 3)	\$6,000
Video Camera		\$1,000

The computers will be used by the investigator and the advocates to analyze case and intelligence information. The camera will be used for investigative and crime scene work.

TOTAL \$7,000

E. Supplies - List items by type (office supplies, postage, training materials, copying paper, and expendable items such as books, hand held tape recorders) and show the basis for computation. Generally, supplies include any materials that are expendable or consumed during the course of the project.

<u>Supply Items</u>	<u>Computation</u>	<u>Cost</u>
Office Supplies	(\$50/mo x 12 mo)	\$ 600
Postage	(\$20/mo x 12 mo)	\$ 240
Training Materials	(\$2/set x 500 sets)	\$1,000

Office supplies and postage are needed for general operation of the program. Training materials will be developed and used by the investigators to train patrol officers how to preserve crime scene evidence.

TOTAL \$1,840

F. Construction - As a rule, construction costs are not allowable. In some cases, minor repairs or renovations may be allowable, Consult with the program office before budgeting funds in this category.

<u>Purpose</u>	<u>Description of Work</u>	<u>Cost</u>
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TOTAL 0

G. Consultants/Contracts - Indicate whether applicant's formal, written Procurement Policy or the Federal Acquisition Regulations are followed.

Consultant Fees: For each consultant enter the name, if known, service to be provided, hourly or daily fee (8-hour day), and estimated time on the project. Consultant fees in excess of \$450 per day require additional justification and prior approval from OJP.

<u>Name of Consultant</u>	<u>Service Provided</u>	<u>Computation</u>	<u>Cost</u>
Jane Doe	Domestic Violence Trainer	(\$150/day x 30 days)	\$4,500

Jane Doe, Domestic Violence Trainer, will be hired, as needed, to assist with the education of the local law enforcement officers and the court personnel.

Subtotal \$4,500

Consultant Expenses: List all expenses to be paid from the grant to the individual consultant in addition to their fees (i.e., travel, meals, lodging etc.)

<u>Item</u>	<u>Location</u>	<u>Computation</u>	<u>Cost</u>
Airfare	San Diego	\$400 x 6 trips	\$2,400
Hotel and Meals		(\$100/day x 30 days)	\$3,000

Jane Doe is expected to make up to 6 trips to provide training and technical assistance to the project.

Subtotal \$5,400

Contracts: Provide a description of the product or services to be procured by contract and an estimate of the cost, Applicants are encouraged to promote free and open competition in awarding contracts. A separate justification must be provided for sole source contracts in excess of \$100,000.

<u>Item</u>	<u>Cost</u>
Not applicable	Subtotal <u>0</u>

TOTAL \$9,900

Budget Summary - When you have completed the budget worksheet, transfer the totals for each category to the spaces below. Compute the total direct costs and the total project costs. Indicate the amount of Federal requested and the amount of non-Federal funds that will support the project.

<u>Budget Category</u>	<u>Amount</u>
A. Personnel	\$ <u>175,450</u>
B. Fringe Benefits	\$ <u>47,838</u>
C. Travel	\$ <u>11,620</u>
D. Equipment	\$ <u>7,000</u>
E. Supplies	\$ <u>1,840</u>
F. Construction	\$ <u>0</u>
G. Consultants/Contracts	\$ <u>9,900</u>
H. Other	\$ <u>23,500</u>
Total Direct Costs	\$ <u>277,148</u>
I. Indirect Costs	\$ <u>0</u>
TOTAL PROJECT COSTS	\$ <u>277,148</u>
Federal Request	\$ <u>277,148</u>
Non-Federal Amount	\$ <u>NA</u>

Appendix G

Assurances (Form 4000/3)

ASSURANCES

The Applicant hereby assures and certifies compliance with all Federal statutes, regulations, policies, guidelines and requirements, including OMB Circulars No. A-21, A-110, A-122, A-128, A-87; E.O. 12372 and Uniform Administrative Requirements for Grants and Cooperative Agreements—28 CFR, Part 66, Common rule, that govern the application, acceptance and use of Federal funds for this federally-assisted project. Also the Applicant assures and certifies that:

1. It possesses legal authority to apply for the grant; that a resolution, motion or similar action has been duly adopted or passed as an official act of the applicant's governing body, authorizing the filing of the application, including all understandings and assurances contained therein, and directing and authorizing the person identified as the official representative of the applicant to act in connection with the application and to provide such additional information may be required.
2. It will comply with requirements of the provisions of the Uniform Relocation Assistance and Real Property Acquisitions Act of 1970 (P.L. 91-646) which provides for fair and equitable treatment of persons displaced as a result of Federal and federally-assisted programs.
3. It will comply with provisions of Federal law which limit certain political activities of employees of a State or local unit of government whose principal employment is in connection with an activity financed in whole or in part by Federal grants. (5 USC 1501, et seq.)
4. It will comply with the minimum wage and maximum hours provisions of the Federal Fair Labor Standards Act
5. It will establish safeguards to prohibit employees from using their positions for a purpose that is or gives the appearance of being motivated by a desire for private gain for themselves or others, particularly those with whom they have family, business, or other ties.
6. It will give the sponsoring agency or the Comptroller General, through any authorized representative, access to and the right to examine all records, books, papers, or documents related to the grant.
7. It will comply with all requirements imposed by the Federal sponsoring agency concerning special requirements of law, program requirements, and other administrative requirements.
8. It will insure that the facilities under its ownership, lease or supervision which shall be utilized in the accomplishment of the project are not listed on the Environmental Protection Agency's (EPA) list of Violating Facilities and that it will notify the Federal grantor agency of the receipt of any communication from the Director of the EPA Office of Federal Activities indicating that a facility to be used in the project is under consideration for listing by the EPA.
9. It will comply with the flood insurance purchase requirements of Section 102(a) of the Flood Disaster Protection Act of 1973, Public Law 93-234, 87 Stat. 975, approved December 31, 1976, Section 102(a) requires, on and after March 2, 1975, the purchase of flood insurance in communities where such insurance is available as a condition for the receipt of any Federal financial assistance for construction or acquisition purposes for use in any area that has been identified by the Secretary of the Department of Housing and Urban Development as an area having special flood hazards. The phrase "Federal financial assistance" includes any form of loan, grant, guaranty, insurance payment, rebate, subsidy, disaster assistance loan or grant, or any other form of direct or indirect Federal assistance.

! It will assist the Federal grantor agency in its compliance with Section 106 of the National Historic Preservation Act of 1966 as amended (16 USC 470), Executive Order 11593, and the Archeological and Historical Preservation Act of 1966 (16 USC 569a-1 et seq.) by (a) consulting with the State Historic Preservation Officer on the conduct of Investigations, as necessary, to identify properties listed in or eligible for inclusion in the National Register of Historic Places that are subject to adverse effects (see 36 CFR Part 800.8) by the activity, and notifying the Federal grantor agency of the existence of any such properties and by (b) complying with all requirements established by the Federal grantor agency to avoid or mitigate adverse effects upon such properties.

11. It will comply, and assure the compliance of all its subgrantees and contractors, with the applicable provisions of Title I of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, the Juvenile Justice and Delinquency Prevention Act, or the Victims of Crime Act, as appropriate; the provisions of the current edition of the Office of Justice Programs Financial and Administrative Guide for Grants, M7100.1; and all other applicable Federal laws, orders, circulars, or regulations.

12. It will comply with the provisions of 28 CFR applicable to grants and cooperative agreements including Part 18, Administrative Review Procedure; Part 20, Criminal Justice Information Systems; Part 22, Confidentiality of Identifiable Research and Statistical Information; Part 23, Criminal Intelligence Systems Operating Policies; Part 30, Intergovernmental Review of Department of Justice Programs and Activities; Part 42, Nondiscrimination/Equal Employment Opportunity Policies and Procedures; Part 61, Procedures for Implementing the National Environmental Policy Act; Part 63, Floodplain Management and Wetland Protection Procedures; and Federal laws or regulations applicable to Federal Assistance Programs.

13. It will comply, and all its contractors will comply, with the non-discrimination requirements of the Omnibus Crime Control and Safe Streets Act of 1968, as amended, 42 USC 3789(d), or Victims of Crime Act (as appropriate); Title VI of the Civil Rights Act of 1964, as amended; Section 504 of the Rehabilitation Act of 1973, as amended; Subtitle A, Title II of the Americans with Disabilities Act (ADA) (1990); Title IX of the Education Amendments of 1972; the Age Discrimination Act of 1975; Department of Justice Non-Discrimination Regulations, 28 CFR Part 42, Subparts C,D,E, and G; and Department of Justice regulations on disability discrimination, 28 CFR Part 35 and Part 39.

14. In the event a Federal or State court or Federal or State administrative agency makes a finding of discrimination after a due process hearing on the grounds of race, color, religion, national origin, sex, or disability against a recipient of funds, the recipient will forward a copy of the finding to the Office for Civil Rights, Office of Justice Programs.

15. It will provide an Equal Employment Opportunity Program if required to maintain one, where the application is for \$500,000 or more.

16. It will comply with the provisions of the Coastal Barrier Resources Act (P.L. 97-348) dated October 19, 1982 (16 USC 3501 et seq.) which prohibits the expenditure of most new Federal funds within the units of the Coastal Barrier Resources System.

**OJP FORM 4000/3 (Rev. 1-93) PREVIOUS EDITIONS ARE OBSOLETE.
ATTACHMENT TO SF-424**

Appendix H

Certifications Regarding Lobbying, Debarment, Suspension and Other Responsibility Matters; and Drug-Free Workplace Requirements



U.S. DEPARTMENT OF JUSTICE
OFFICE OF JUSTICE PROGRAMS
OFFICE OF THE COMPTROLLER

CERTIFICATIONS REGARDING LOBBYING; DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS; AND DRUGFREE WORKPLACE REQUIREMENTS

Applicants should refer to the regulations cited below to determine the certification to which they are required to attest. Applicants should also review the instructions for certification included in the regulations before completing this form. Signature of this form provides for compliance with certification requirements under 28 CFR Part 69, "New Restrictions on Lobbying" and 28 CFR Part 67, "Government-wide Debarment and Suspension (Nonprocurement) and Government-wide Requirements for Drug-Free Workplace (Grants)." The certifications shall be treated as a material representation of fact upon which reliance will be placed when the Department of Justice determines to award the covered transaction, grant, or cooperative agreement.

1. LOBBYING

As required by Section 1352, Title 31 of the U.S. Code, and implemented at 28 CFR Part 69, for persons entering into a grant or cooperative agreement over \$100,000, as defined at 28 CFR Part 69, the applicant certifies that:

(a) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the making of any Federal grant, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal grant or cooperative agreement;

(b) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this Federal grant or cooperative agreement, the undersigned shall complete and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions;

(c) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subgrants, contracts under grants and cooperative agreements, and subcontracts) and that all sub-recipients shall certify and disclose accordingly.

2. DEBARMENT, SUSPENSION, AND OTHER RESPONSIBILITY MATTERS (DIRECT RECIPIENT)

As required by Executive Order 12549, Debarment and Suspension, and implemented at 28 CFR Part 67, for prospective participants in primary covered transactions, as defined at 28 CFR Part 67, Section 67.510, -

A. The applicant certifies that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, sentenced to a denial of Federal benefits by a State or Federal court, or voluntarily excluded from covered transactions by any Federal department or agency;

(b) Have not within a three-year period preceding this application been convicted of or had a civil judgement rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State, or local)

transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State, or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three year period preceding this application had one or more public transactions (Federal, State, or local) terminated for cause or default; and

B. Where the applicant is unable to certify to any of the statements in this certification, he or she shall attach an explanation to this application.

3. DRUGFREE WORKPLACE (GRANTEES OTHER THAN INDIVIDUALS)

As required by the DrugFree Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67, Sections 67.615 and 67.620 —

A. The applicant certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drugfree awareness program to inform employees about —

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drugfree workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will-

(1) Abide by the terms of the statement; and

(2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency, in writing, within 10 calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under subparagraph (d)(2), with respect to any employee who is so convicted —

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

B. The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check if there are workplaces on file that are not identified here.

Section 67, 630 of the regulations provides that a grantee that is a State may elect to make one certification in each Federal fiscal year. A copy of which should be included with each application for Department of Justice funding. States and State agencies may elect to use OJP Form 4061/7.

Check if the State has elected to complete OJP Form 4061/7.

**DRUG-FREE WORKPLACE
(GRANTEES WHO ARE INDIVIDUALS)**

As required by the Drug-Free Workplace Act of 1988, and implemented at 28 CFR Part 67, Subpart F, for grantees, as defined at 28 CFR Part 67; Sections 67.615 and 67.620 —

A. As a condition of the grant, I certify that I will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant; and

B. If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, I will report the conviction, in writing, within 10 calendar days of the conviction, to: Department of Justice, Office of Justice Programs, ATTN: Control Desk, 633 Indiana Avenue, N.W., Washington, D.C. 20531.

As the duly authorized representative of the applicant, I hereby certify that the applicant will comply with the above certifications.

1. Grantee Name and Address:

2. Application Number and/or Project Name

3. Grantee IRS/Vendor Number

4. Typed Name and Title of Authorized Representative

5. Signature

6. Date

DISCLOSURE OF LOBBYING ACTIVITIES

Complete this form to disclose lobbying activities pursuant to 31 U.S.C. 1352
(See reverse for public burden disclosure)

<p>1. Type of Federal Action:</p> <p><input type="checkbox"/> a. contract <input type="checkbox"/> b. grant <input type="checkbox"/> c. cooperative agreement <input type="checkbox"/> d. loan <input type="checkbox"/> e. loan guarantee <input type="checkbox"/> f. loan insurance</p>	<p>2. Status of Federal Action:</p> <p><input type="checkbox"/> a. bid/offer/application <input type="checkbox"/> b. initial award <input type="checkbox"/> c. post award</p>	<p>3. Report type:</p> <p><input type="checkbox"/> a. initial filing <input type="checkbox"/> b. material change</p> <p>For Material Change Only:</p> <p>year _____ Quarter _____ date of last report _____</p>
<p>4. Name and Address of Reporting Entity:</p> <p><input type="checkbox"/> Prime <input type="checkbox"/> Subawardee</p> <p style="padding-left: 100px;">Tier _____, <i>if known</i></p> <p>Congressional District, if known:</p>		<p>5. If Reporting Entity in No. 4 is Subawardee, Enter Name and Address of Prime:</p> <p>Congressional District, if known:</p>
<p>6. Federal Department/Agency:</p>	<p>7. Federal Program Name/Description:</p> <p>CDFR Number, if applicable: _____</p>	
<p>8. Federal Action Number, if known:</p>	<p>9. Award Amount, if known:</p> <p style="text-align: center;">\$ _____</p>	
<p>10. a. Name and Address of Lobbying Entity (if individual, last name, first name, MI)</p>	<p>b. Individuals Performing Services (including address if different from No. 10a) (last name, first name, MI)</p>	
<p>11. Information requested through this form is authorized by title 31 U.S.C. section 1352. This disclosure of lobbying activities is a material representation of the fact upon which reliance was placed by the tier above when this transaction was made or entered into. This disclosure is required pursuant to 31 U.S.C. 1352. This information will be reported to the Congress semi-annually and will be available for public inspection. Any person who fails to file the required disclosure shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.</p>	<p>Signature: _____</p> <p>Print Name: _____</p> <p>Title: _____</p> <p>Telephone No.: _____ Date: _____</p>	
<p>Federal Use Only:</p>		<p>Authorized for Local Reproduction Standard Form - LLL</p>

INSTRUCTIONS FOR COMPLETION OF SF-LLL, DISCLOSURE OF LOBBYING ACTIVITIES

This disclosure form shall be completed by the reporting entity, whether subawardee or prime Federal recipient, at the initiation or receipt of a covered Federal action, or a material change to a previous filing, pursuant to title 31 U.S.C. section 1352. The filing of a form is required for each payment or agreement to make payment to any lobbying entity for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with a Federal action. Use the SF-LLL-A Continuation Sheet for additional information if the space on the form is inadequate. Complete all items that apply for both the initial filing and material change report. Refer to the implementing guidance published by the Office of Management and Budget for additional information.

1. Identifying the type of covered Federal action for which lobbying activity is and/or has been secured to influence the outcome of a covered Federal action.
- f. Identify the status of the covered Federal action.
3. Identify the appropriate classification of this report. If this is a follow-up report caused by a material change to the information previously reported, enter the year and quarter in which the change occurred. Enter the date of the last previously submitted report by this reporting entity for this covered Federal action.
4. Enter the full name, address, city, state and zip code of the reporting entity. Include Congressional District, if known. Check the appropriate classification of the reporting entity that designates if it is, or expects to be, a prime or subawardee recipient. Identify the tier of subawardee, e.g., the first subawardee of the prime is the 1st tier. Subawards include but are not limited to subcontracts, subgrants and contract awards under grants.
5. If the organization filing the report in item 4 checks "subawardee", then enter the full name, address, city, state and zip code of the prime Federal recipient. Include Congressional District, if known.
6. Enter the name of the Federal agency making the award or loan commitment. Include at least one organizational level below agency name, if known. For example, Department of Transportation, United States Coast Guard.
7. Enter the Federal program name or description for the covered Federal action (item 1). If known, enter the full Catalog of Federal Domestic Assistance (CFDA) number for grants, cooperative agreements, loans, and loan commitments.
8. Enter the most appropriate Federal identifying number available for the Federal action identified in item 1 (e.g., Request for Proposal (RFP) number; Invitation for Bid (IFB) number; grant announcement number; the contract, grant or loan award number; the application/proposal control number assigned by the Federal agency). Include prefixes, e.g., "RFP-DE-90-001".
9. For a covered Federal action where there has been an award or loan commitment for the prime entity identified in item 4 or 5.
10. (a) Enter the full name, address, city, state and zip code of the lobbying entity engaged by the reporting entity identified in item 4 to influence the covered Federal action.

(b) Enter the full names of the individual(s) performing services, and include full address if different from 10 (a). Enter Last Name, First Name, and Middle Initial (MI)>
11. The certifying official shall sign and date the form, print his/her name, title, and telephone number.

Public reporting burden for this collection of information is estimated to average 30 minutes per response including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding the burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Management and Budget, Paperwork Reduction Project (0348-0046); Washington, D.C. 20503.

Appendix I

Sample Non-Supplanting Letter

SAMPLE

[Applicant Letterhead]

[date]

**Deborah J. Daniels
Assistant Attorney General
Office of Justice Programs
810 7th Street, NW
Washington, DC 20531**

Dear Ms. Daniels:

[Applicant] certifies that any funds awarded through the Grants to Encourage Arrest Policies and Enforcement of Protection Orders Program will be used to supplement existing funds for program activities and will not replace (supplant) nonfederal funds that have been appropriated for the purpose of providing legal assistance and legal advocacy to domestic violence victims. The [name of applicant] understands that supplanting violations can result in a range of penalties, including suspension of future funds under this program, suspension or debarment from federal grants, recoupment of monies provided under this grant, and civil and/or criminal penalties.

Sincerely,

[Applicant's Authorizing Official]